

This Page Is Inserted by IFW Operations
and is not a part of the Official Record

BEST AVAILABLE IMAGES

Defective images within this document are accurate representations of the original documents submitted by the applicant.

Defects in the images may include (but are not limited to):

- BLACK BORDERS
- TEXT CUT OFF AT TOP, BOTTOM OR SIDES
- FADED TEXT
- ILLEGIBLE TEXT
- SKEWED/SLANTED IMAGES
- COLORED PHOTOS
- BLACK OR VERY BLACK AND WHITE DARK PHOTOS
- GRAY SCALE DOCUMENTS

IMAGES ARE BEST AVAILABLE COPY.

**As rescanning documents *will not* correct images,
please do not report the images to the
Image Problem Mailbox.**



DAC

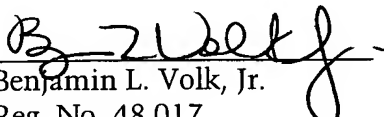
Attorney Docket No. 36194/42366

PATENT

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

CERTIFICATE OF FIRST CLASS MAILING

I certify that the documents referred to as enclosed herein are being deposited on April 26, 2004, with the U.S. Postal Service as First Class Mail under 37 C.F.R. 1.8 and are addressed to Commissioner for Patents, P.O. Box 1450, Alexandria, Virginia 22313-1450.


Benjamin L. Volk, Jr.
Reg. No. 48,017

In re application of:
Tully et al.

Serial No.: 10/692,067

Filed: October 22, 2003

For: System And Method For The Automated
Brokerage Of Financial Instruments

Examiner: Not Yet Assigned

Group Art Unit: 3628

Commissioner for Patents
P.O. Box 1450
Alexandria, VA 22313-1450

PETITION UNDER 37 CFR 1.10(c) TO CORRECT FILING
DATE AND DATE IN DISCREPANCY

On April 19, 2004, Applicant received the Filing Receipt mailed April 15, 2004 (copy enclosed) for the above-identified patent application. This filing receipt listed the application's filing date as 10/23/2003. However, the proper filing date for this application is 10/22/2003, as will be explained below. In particular, Applicant notes that the "date-in" field on the Express Mail mailing label for this application identifies the filing date as 10/22/2003.

37 CFR 1.10(c) governs situations such as these. It reads as follows:

Any person filing correspondence under this section that was received by the Office and delivered by the "Express Mail Post Office to Addressee" service of the

USPS, who can show that there is a discrepancy between the filing date accorded by the Office to the correspondence and the date of deposit as shown by the "date-in" on the "Express Mail" mailing label or other official USPS notation, may petition the Commissioner to accord the correspondence a filing date as of the "date-in" on the "Express Mail" mailing label or other official USPS notation, provided that:

- (1) The petition is filed promptly after the person becomes aware that the Office has accorded, or will accord, a filing date other than the USPS deposit date;
- (2) The number of the "Express Mail" mailing label was placed on the paper(s) or fee(s) that constitute the correspondence prior to the original mailing by "Express Mail"; and
- (3) The petition includes a true copy of the "Express Mail" mailing label showing the "date-in", and of any other official notation by the USPS relied upon to show the date of deposit.

Pursuant to 37 CFR 1.10(c), Applicant hereby petitions to correct the filing date for this application to the date of October 22, 2003.

In support of 37 CFR 1.10(c)(1), the undersigned hereby notes that he first became aware of the USPTO's incorrect assignation of this application's filing date on April 22, 2004. He became aware of this error upon review of the filing receipt mailed by the USPTO on April 15, 2004 and received by the law firm office of the undersigned on April 19, 2004. Applicant respectfully submits that this petition has been submitted promptly after becoming aware of the USPTO's error.

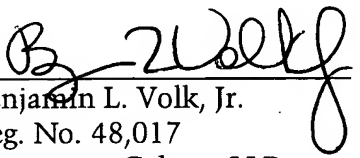
In support of 37 CFR 1.10(c)(2), Applicant respectfully submits that the number of the "Express Mail" mailing label (EV328618216US) was placed on all of the papers that constitute the application filing on October 22, 2003. As evidence of this, enclosed with this petition are photocopies of the papers deposited with the USPS in Express Mail package EV328618216US. Applicant has highlighted the locations at which EV328618216US appears. Important among these papers is the first page of the application enclosed herewith that includes the Express Mail number EV328618216US. Also among these papers are copies of the originally-filed drawings, each with the Express Mail number EV328618216US included thereon. Other papers that include the Express Mail number EV328618216US are pages 1 and 2 of the "Utility Patent Application Transmittal", and page 1 of the Declaration.

In support of 37 CFR 1.10(c)(3), Applicant respectfully submits a true copy of the "Express Mail" mailing label for the above-identified patent application that shows the "date-

in" date of October 22, 2003. Applicant has highlighted the location on the Express Mail mailing label that shows this date-in date.

Therefore, having satisfied conditions (1)-(3) of 37 CFR 1.10(c), Applicant respectfully requests that the USPTO accord the above-identified patent application the correct filing date of October 22, 2003. Applicant believes there is no fee due for this filing. However, if a fee is due, the Commissioner for Patents is authorized to charge Deposit Account No. 20-0823. A duplicate copy of this Petition is enclosed for that purpose.

Respectfully submitted,


Benjamin L. Volk, Jr.
Reg. No. 48,017
Thompson Coburn LLP
One US Bank Plaza
St. Louis, Missouri 63101
(314) 552-6000
(314) 552-7000 (fax)



UNITED STATES PATENT AND TRADEMARK OFFICE

UNITED STATES DEPARTMENT OF COMMERCE
United States Patent and Trademark Office
Address: COMMISSIONER FOR PATENTS
P.O. Box 1450
Alexandria, Virginia 22313-1450
www.uspto.gov

APPL NO.	FILING OR 371 (c) DATE	ART UNIT	FIL FEE REC'D	ATTY. DOCKET NO	DRAWINGS	TOT CLMS	IND CLMS
10/692,067	10/23/2003	3628	3018	36194/42366	62	90	11

10/22/2003

21888
THOMPSON COBURN, LLP
ONE US BANK PLAZA
SUITE 3500
ST LOUIS, MO 63101



CONFIRMATION NO. 7243

UPDATED FILING RECEIPT



OC000000012369964

Date Mailed: 04/15/2004

Receipt is acknowledged of this regular Patent Application. It will be considered in its order and you will be notified as to the results of the examination. Be sure to provide the U.S. APPLICATION NUMBER, FILING DATE, NAME OF APPLICANT, and TITLE OF INVENTION when inquiring about this application. Fees transmitted by check or draft are subject to collection. Please verify the accuracy of the data presented on this receipt. If an error is noted on this Filing Receipt, please write to the Office of Initial Patent Examination's Filing Receipt Corrections, facsimile number 703-746-9195. Please provide a copy of this Filing Receipt with the changes noted thereon. If you received a "Notice to File Missing Parts" for this application, please submit any corrections to this Filing Receipt with your reply to the Notice. When the USPTO processes the reply to the Notice, the USPTO will generate another Filing Receipt incorporating the requested corrections (if appropriate).

Applicant(s)

Michael James Tully, Maryland Heights, MO;
Virgil Michael Scott, Wildwood, MO;
Dwayne Oliver Randle, Bridgeton, MO;
Gregory Paul Lembree, O'Fallon, MO;

Domestic Priority data as claimed by applicant

Foreign Applications

If Required, Foreign Filing License Granted: 04/14/2004

Projected Publication Date: 07/22/2004

Non-Publication Request: No

Early Publication Request: Yes

Title

System and method for the automated brokerage of financial instruments

RECEIVED

APR 19 2004

IN REPLY TO USPTO

DOCKETED

APR 19 2004

Thompson Coburn LLP

Preliminary Class
705



**LICENSE FOR FOREIGN FILING UNDER
Title 35, United States Code, Section 184
Title 37, Code of Federal Regulations, 5.11 & 5.15**

GRANTED

The applicant has been granted a license under 35 U.S.C. 184, if the phrase "IF REQUIRED, FOREIGN FILING LICENSE GRANTED" followed by a date appears on this form. Such licenses are issued in all applications where the conditions for issuance of a license have been met, regardless of whether or not a license may be required as set forth in 37 CFR 5.15. The scope and limitations of this license are set forth in 37 CFR 5.15(a) unless an earlier license has been issued under 37 CFR 5.15(b). The license is subject to revocation upon written notification. The date indicated is the effective date of the license, unless an earlier license of similar scope has been granted under 37 CFR 5.13 or 5.14.

This license is to be retained by the licensee and may be used at any time on or after the effective date thereof unless it is revoked. This license is automatically transferred to any related applications(s) filed under 37 CFR 1.53(d). This license is not retroactive.

The grant of a license does not in any way lessen the responsibility of a licensee for the security of the subject matter as imposed by any Government contract or the provisions of existing laws relating to espionage and the national security or the export of technical data. Licensees should apprise themselves of current regulations especially with respect to certain countries, of other agencies, particularly the Office of Defense Trade Controls, Department of State (with respect to Arms, Munitions and Implements of War (22 CFR 121-128)); the Office of Export Administration, Department of Commerce (15 CFR 370.10 (j)); the Office of Foreign Assets Control, Department of Treasury (31 CFR Parts 500+) and the Department of Energy.

NOT GRANTED

No license under 35 U.S.C. 184 has been granted at this time, if the phrase "IF REQUIRED, FOREIGN FILING LICENSE GRANTED" DOES NOT appear on this form. Applicant may still petition for a license under 37 CFR 5.12, if a license is desired before the expiration of 6 months from the filing date of the application. If 6 months has lapsed from the filing date of this application and the licensee has not received any indication of a secrecy order under 35 U.S.C. 181, the licensee may foreign file the application pursuant to 37 CFR 5.15(b).



Customer Copy



EV 328518216 US



UNITED STATES POSTAL SERVICE

Post Office To Addressee

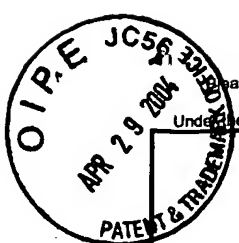
ORIGIN (POSTAL USE ONLY)			DELIVERY (POSTAL USE ONLY)		
PO ZIP Code 63153	Day of Delivery First Day of Delivery <input checked="" type="checkbox"/> First Day <input type="checkbox"/> Second Day	Flat Rate Envelope <input type="checkbox"/> Flat Rate Envelope <input type="checkbox"/> Flat Rate Envelope	Delivery Attempt This is a delivery attempt. Mo. Day Mo. Day	Time Time <input type="checkbox"/> AM <input type="checkbox"/> PM	Employee Signature Employee Signature
Date 10/22/03	Postage \$17.85	Return Receipt Fee \$0.00	Delivery Date Mo. Day Mo. Day	Time Time <input type="checkbox"/> AM <input type="checkbox"/> PM	Employee Signature Employee Signature
Weight 1.8 lbs	Military Int'l Alpha Country Code	Insurance Fee \$0.00	Delivery Date Mo. Day Mo. Day	Time Time <input type="checkbox"/> AM <input type="checkbox"/> PM	Employee Signature Employee Signature
No Delivery <input type="checkbox"/> No Delivery <input type="checkbox"/> No Delivery	Acceptance Mark Initials AW	Total Postage Fee \$17.85	NO DELIVERY		

CUSTOMER USE ONLY		CUSTOMER USE ONLY	
METHOD OF PAYMENT Express Mail Corporate Acct. No. 314 552 6000	FROM: (PLEASE PRINT) THOMPSON & COBURN LLP 1 US BANK PLAZA FL 26 SAINT LOUIS MO 63101-1642	TO: (PLEASE PRINT) MAIL STOP PATENT APPLICATION COMMISSIONER FOR PATENTS PO BOX 1450 ALEXANDRIA VA 22313-1450	RECEIVED OCT 23 2003
36194/42366 BLV/LKM THOMPSON COBURN			

PRESS HARD.
You are making 3 copies.

FOR PICKUP OR TRACKING CALL 1-800-222-1811 www.usps.com





Please type a plus sign (+) inside this box

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

PTO/SB/05 (03-01)
U.S. Patent and Trademark Office, U.S. DEPARTMENT OF COMMERCE
Applicable through 10/31/2002. OMB 0651-0032

UTILITY PATENT APPLICATION TRANSMITTAL (Only for new nonprovisional applications under 37 CFR 1.53(b))	Attorney Docket No.	36194/42366
	First Inventor	Tully et al.
	Title	System And Method For The Automated Brokerage Of Financial Instruments
	Express Mail No.	EV328618216US

APPLICATION ELEMENTS See MPEP chapter 600 concerning utility patent application contents.	ADDRESS TO: Mail Stop Patent Application Commissioner for Patents P.O. Box 1450, Alexandria, VA 22313-1450
1. <input type="checkbox"/> Applicant claims small entity status. See 37 CFR 1.27.	5. <input type="checkbox"/> CD-ROM or CD-R in duplicate, large table or Computer Program (Appendix)
2. <input checked="" type="checkbox"/> Specification [Total Pages 99] (preferred arrangement set forth below) <input checked="" type="checkbox"/> Descriptive title of the invention <input type="checkbox"/> Cross Reference to Related Applications <input type="checkbox"/> Statement Regarding Fed sponsored R & D <input type="checkbox"/> Reference to sequence listing, a table, or a computer program listing appendix <input checked="" type="checkbox"/> Background of the Invention <input checked="" type="checkbox"/> Brief Summary of the Invention <input checked="" type="checkbox"/> Brief Description of the Drawings (if filed) <input checked="" type="checkbox"/> Detailed Description <input checked="" type="checkbox"/> Claim(s) <input checked="" type="checkbox"/> Abstract of the Disclosure	6. Nucleotide and/or Amino Acid Sequence Submission (if applicable, all necessary) a. <input type="checkbox"/> Computer Readable Form (CRF) b. Specification Sequence Listing on: i. <input type="checkbox"/> CD-ROM or CD-R (2 copies); or ii. <input type="checkbox"/> paper c. <input type="checkbox"/> Statements verifying identify of above copies
3. <input checked="" type="checkbox"/> Drawing(s) (35 U.S.C. 113) [Total Sheets 39]	ACCOMPANYING APPLICATION PARTS
4. Oath or Declaration [Total Pages 3] a. <input checked="" type="checkbox"/> Newly executed (original or copy) b. <input type="checkbox"/> Unexecuted c. <input type="checkbox"/> Copy from a prior application (37 CFR 1.63 (d)) (for continuation/divisional with Box 17 completed) i. <input type="checkbox"/> DELETION OF INVENTOR(S) Signed statement attached deleting inventor(s) named in the prior application, see 37 CFR 1.63(d)(2) and 1.33(b).	7. <input checked="" type="checkbox"/> Assignment Papers (cover sheet & document(s)) 8. <input type="checkbox"/> 37 CFR 3.73(b) Statement <input type="checkbox"/> Power of Attorney (when there is an assignee) 9. <input type="checkbox"/> English Translation Document (if applicable) 10. <input type="checkbox"/> Information Disclosure <input type="checkbox"/> Copies of IDS Citations Statement (IDS)/PTO-1449 11. <input type="checkbox"/> Preliminary Amendment 12. <input checked="" type="checkbox"/> Return Receipt Postcard (MPEP 503) (Should be specifically itemized) 13. <input type="checkbox"/> Certified Copy of Priority Document(s) (if foreign priority is claimed) 14. <input type="checkbox"/> Nonpublication Request under 35 U.S.C. 122 (b)(2)(B)(i). Applicant must attach form PTO/SB/35 or its equivalent 15. <input type="checkbox"/> Certificate of Express Mail 16. <input type="checkbox"/> Other: _____

DOCKETED

OCT 23 2003


Thompson Coburn LLP

17. If a CONTINUING APPLICATION, check appropriate box, and supply the requisite information below and in a preliminary amendment, or in an Application Data Sheet under 37 CFR 1.76:

☐ Continuation ☐ Divisional ☐ Continuation-in-part (CIP) of prior application No.: _____
Prior application information: Examiner: _____ Group Art Unit: _____

For CONTINUATION OR DIVISIONAL APPS only: The entire disclosure of the prior application, from which an oath or declaration is supplied under Box 5b, is considered a part of the disclosure of the accompanying continuation or divisional application and is hereby incorporated by reference. The incorporation can only be relied upon when a portion has been inadvertently omitted from the submitted application parts.

18. CORRESPONDENCE ADDRESS

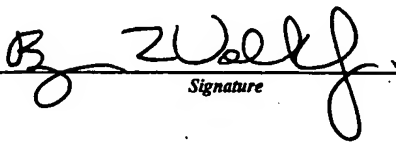
<input checked="" type="checkbox"/> Customer Number or Bar Code Label		or <input type="checkbox"/> Correspondence address below
Name	Benjamin L. Volk, Jr.	Registration No. (Attorney/Agent) #48,017
Address	Thompson Coburn LLP One US Bank Plaza, Suite 3500	
City	St. Louis	State MO Zip Code 63101-9928
Country	U.S.A.	Telephone 314-552-6000 Fax 314-552-7000

Burden Hour Statement: This form is estimated to take 0.3 hours to complete. Time will vary depending upon the needs of the individual case. Any documents on the record of this case are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, D.C. 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: ASSISTANT COMMISSIONER for Patents, Box Patent Application, P.O. Box 1450, Alexandria, VA 22313-1450

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

PATENT APPLICATION FEE DETERMINATION RECORD				Application or Docket Number 36194/42366					
CLAIMS AS FILED - PART I				SMALL ENTITY		OR		OTHER THAN SMALL ENTITY	
(Column 1)		(Column 2)							
FOR	NUMBER FILED	NUMBER EXTRA	RATE	FEE		RATE			
BASIC FEE (37 CFR 1.16(a))									770.00
TOTAL CLAIMS (37 CFR 1.16(c))	90 minus 20 =	70	x \$	= 0.00	OR	x \$18.00 =			1,260.00
INDEPENDENT CLAIMS (37 CFR 1.16(b))	11 minus 3 =	8	x \$	= 0.00	OR	x \$86.00 =			688.00
MULTIPLE DEPENDENT CLAIM PRESENT (37 CFR 1.16(d))				+ \$	=	OR	+ \$	=	
* If the difference in column 1 is less than zero, enter "0" in column 2				TOTAL	0.00	OR	TOTAL		2,718.00

- ☒ A check in the amount of \$2,718.00 is attached.
- ☒ The Commissioner is hereby authorized to charge and credit Deposit Account No. 20-0823 as described below. A duplicate copy of this sheet is enclosed.
- ☐ Charge the amount of \$
- ☒ Credit any overpayment.
- ☒ Charge any additional fee required.


Signature

Dated: October 22, 2003

Benjamin L. Volk, Jr., Reg. No. 48,017
Thompson Coburn LLP
One US Bank Plaza, Suite 3500
St. Louis, Missouri 63101-9928
314-552-6000
FAX 314-552-7000

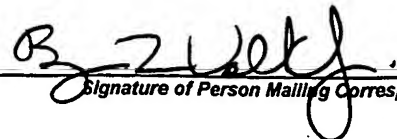


21888

PATENT TRADEMARK OFFICE

I certify that the document and fee is being deposited on October 22, 2003, with the U.S. Postal Service as Express Mail under 37 C.F.R. 1.10 and is addressed to MAIL STOP PATENT APPLICATION, Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

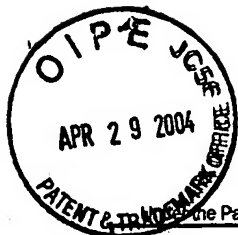
Express Mail No. EV328618216US


Signature of Person Mailing Correspondence

Benjamin L. Volk, Jr.

Typed or Printed Name of Person Mailing Correspondence

P16B/REV01



Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

DECLARATION FOR UTILITY, DESIGN, DIVISIONAL AND CONTINUATION-IN-PART PATENT APPLICATIONS (37 CFR 1.63)		Express Mail No.	EV328618216US
		Attorney Docket Number	35194/42366
		First Named Inventor	Tully et al.
<input checked="" type="checkbox"/> Declaration Submitted with Initial Filing		COMPLETE IF KNOWN	
<input type="checkbox"/> Supplemental Declaration Submitted	<input type="checkbox"/> Declaration Submitted for Continuation-In-Part Filing	<input type="checkbox"/> Declaration Submitted for Divisional Filing	
		Application Number	Not Yet Assigned
		Filing Date	Herewith
		Group Art Unit	Not Yet Assigned
		Examiner Name	Not Yet Assigned

As a below named inventor, I hereby declare that:

My residence, mailing address, and citizenship are as stated below next to my name.

I believe I am the original, first and sole inventor (if only one name is listed below) or an original, first and joint inventor (if plural names are listed below) of the subject matter which is claimed and for which a patent is sought on the invention entitled:

System And Method For The Automated Brokerage Of Financial Instruments

(Title of the Invention)

the specification of which

☒ is attached hereto

OR

☐ was filed on (MM/DD/YYYY)

as United States Application Number or PCT International

Application Number

and was amended on (MM/DD/YYYY)

(if applicable).

I hereby state that I have reviewed and understand the contents of the above identified specification, including the claims, as amended by any amendment specifically referred to above.

I acknowledge the duty to disclose information which is material to patentability as defined in 37 CFR 1.56, including for continuation-in-part applications, material information which became available between the filing date of the prior application and the national or PCT international filing date of the continuation-in-part application.

I hereby claim foreign priority benefits under 35 U.S.C. 119(a)-(d) or (f), or 365(b) of any foreign application(s) for patent, inventor's or plant breeder's rights certificate(s), or 365(a) of any PCT international application which designated at least one country other than the United States of America, listed below and have also identified below, by checking the box, any foreign application for patent, inventor's or plant breeder's rights certificate(s), or any PCT international application having a filing date before that of the application on which priority is claimed.

Prior Foreign Application Number(s)	Country	Foreign Filing Date (MM/DD/YYYY)	Priority Not Claimed	Certified Copy Attached?	
				YES	NO
			<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
			<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
			<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

☐ Additional foreign application numbers are listed on a supplemental priority data sheet PTO/SB/02B attached hereto:

[Page 1 of 2]

2201857

Burden Hour Statement: This form is estimated to take 21 minutes to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington, DC 20231.

P 2

SCOTTRADE IT DEPT

3149651341

14:34

2003-10-22



PTO/SB/01 (03-01)
Approved for use through 10/31/2002. OMB 0851-0032
U.S. Patent and Trademark Office, U.S. DEPARTMENT OF COMMERCE
Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

DECLARATION — Utility or Design Patent Application

Direct all correspondence to: ☒

Customer Number
or Bar Code Label

21888
21888

OR ☐ Correspondence address below

Name Benjamin L. Volk, Jr.



21888

Address Thompson Coburn LLP, One US Bank Plaza, Suite 3500

PATENT TRADEMARK OFFICE

City St. Louis

State MO

ZIP 63101-9928

Country USA

Telephone 314-552-6000

Fax 314-552-7000

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that wilful false statements and the like so made are punishable by fine or imprisonment, or both, under 18 U.S.C. 1001 and that such wilful false statements may jeopardize the validity of the application or any patent issued thereon.

NAME OF SOLE OR FIRST INVENTOR :

☐ A petition has been filed for this unsigned inventor

Given Name
(first and middle [if any])

Michael James

Family Name
or Surname

Tully

Inventor's
Signature

Date

10/22/03

Residence: City Maryland Heights

State MO

Country USA

Citizenship United Kingdom

Mailing Address 12136 Wesmeade

City Maryland Heights

State MO

ZIP 63043

Country USA

NAME OF SECOND INVENTOR :

☐ A petition has been filed for this unsigned inventor

Given Name
(first and middle [if any])

Virgil Michael

Family Name
or Surname

Scott

Inventor's
Signature

Date

10/22/03

Residence: City Wildwood

State MO

Country USA

Citizenship United States

Mailing Address 2527 Balaji Court

City Wildwood

State MO

ZIP 63011

Country USA

☒ Additional inventors are being named on the 1 supplemental Additional Inventor(s) sheet(s) PTO/SB/02A attached hereto.



Please type a plus sign (+) inside this box → ☐

PTO/SB/02A (11-00)
Approved for use through 10/31/2002. OMB 0651-0032
U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

DECLARATION	ADDITIONAL INVENTOR(S) Supplemental Sheet Page 1 of 1
--------------------	---

Name of Additional Joint Inventor, if any:		<input type="checkbox"/> A petition has been filed for this unsigned inventor	
Given Name (first and middle (if any))		Family Name or Surname	
Dwayne Oliver		Randle	
Inventor's Signature <i>Dwayne Oliver Randle</i>		Date 10/22/2003	
Residence: City	Bridgeton	State	MO
Country	USA		
Citizenship United States			
Mailing Address 11847 Brookington Drive			
Mailing Address			
City	Bridgeton	State	MO
ZIP	63044		
Country	USA		
Name of Additional Joint Inventor, if any:		<input type="checkbox"/> A petition has been filed for this unsigned inventor	
Given Name (first and middle (if any))		Family Name or Surname	
Gregory Paul		Lembree	
Inventor's Signature <i>Gregory Paul Lembree</i>		Date 10/22/03	
Residence: City	O'Fallon	State	MO
Country	USA		
Citizenship United States			
Mailing Address 759 Falcon Hill Trail			
Mailing Address			
City	O'Fallon	State	MO
ZIP	63366		
Country	USA		
Name of Additional Joint Inventor, if any:		<input type="checkbox"/> A petition has been filed for this unsigned inventor	
Given Name (first and middle (if any))		Family Name or Surname	
Inventor's Signature		Date	
Residence: City		State	
Country			
Citizenship			
Mailing Address			
Mailing Address			
City		State	
ZIP			
Country			

Burden Hour Statement: This form is estimated to take 21 minutes to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.



PATENT

EXPRESS MAIL NO. EV328618216US

SYSTEM AND METHOD FOR THE AUTOMATED BROKERAGE
OF FINANCIAL INSTRUMENTS

Field of the Invention:

The present invention relates to an automated electronic system for processing orders from investors for transactions of financial instruments and supplying financial account information to investors.

5

Background and Summary of the Invention:

In the present day, investors are discovering that computers and, in particular, computer networks such as the Internet, are a particularly useful tool for managing and tracking their financial investment portfolio. Whether it is an individual investor seeking to occasionally buy or sell stocks, bonds, or other financial instruments; a day trader conducting numerous such transactions each day; or a professional investor such as a licensed broker who manages the financial portfolios of numerous clients; access via a computer network to financial markets to conduct these transactions is now and increasingly more so in the future an important channel for execution of this business.

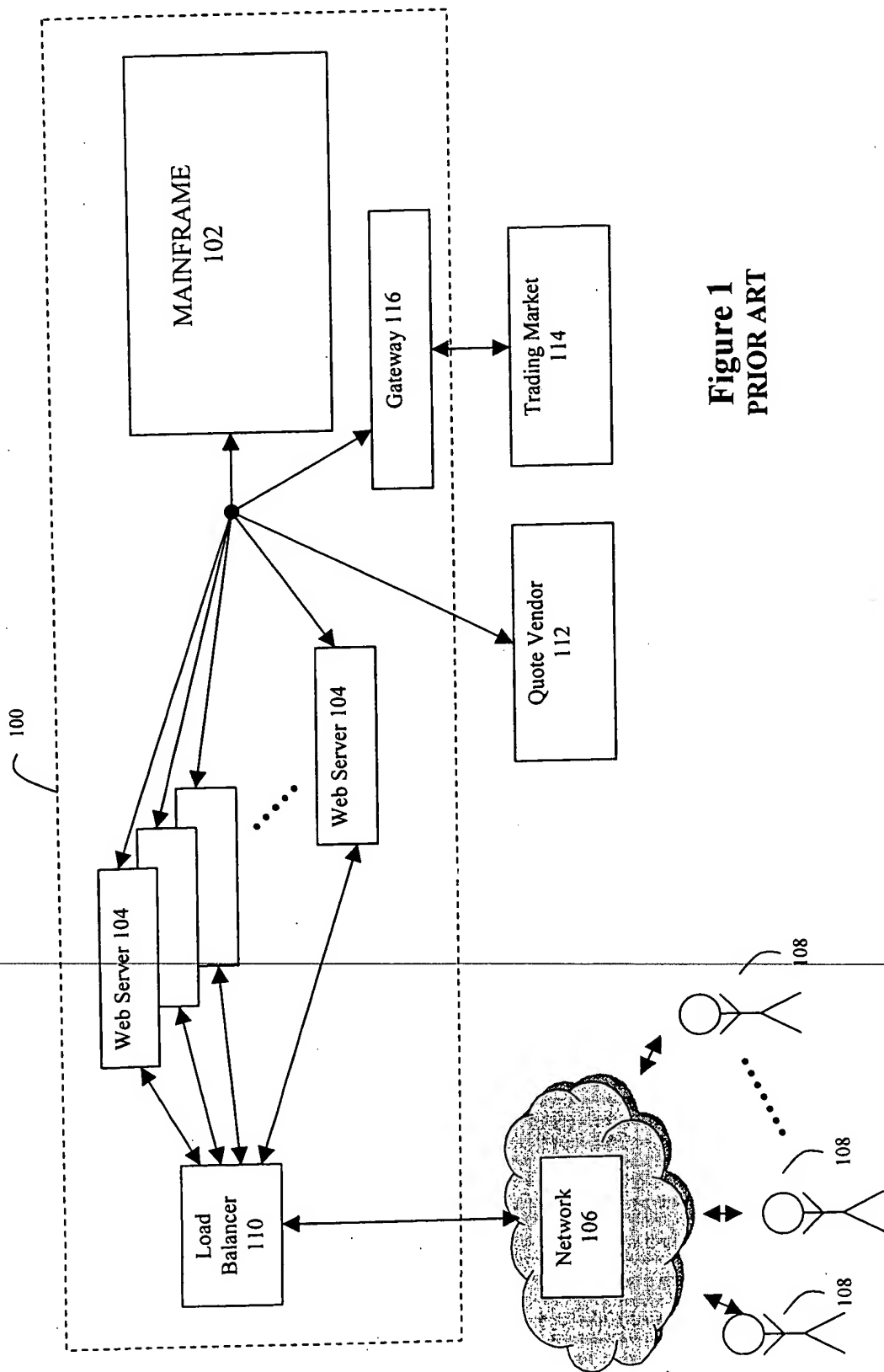
10

15

Thus, a need in the art has developed for an infrastructure that both supports access to the financial markets and provides fast

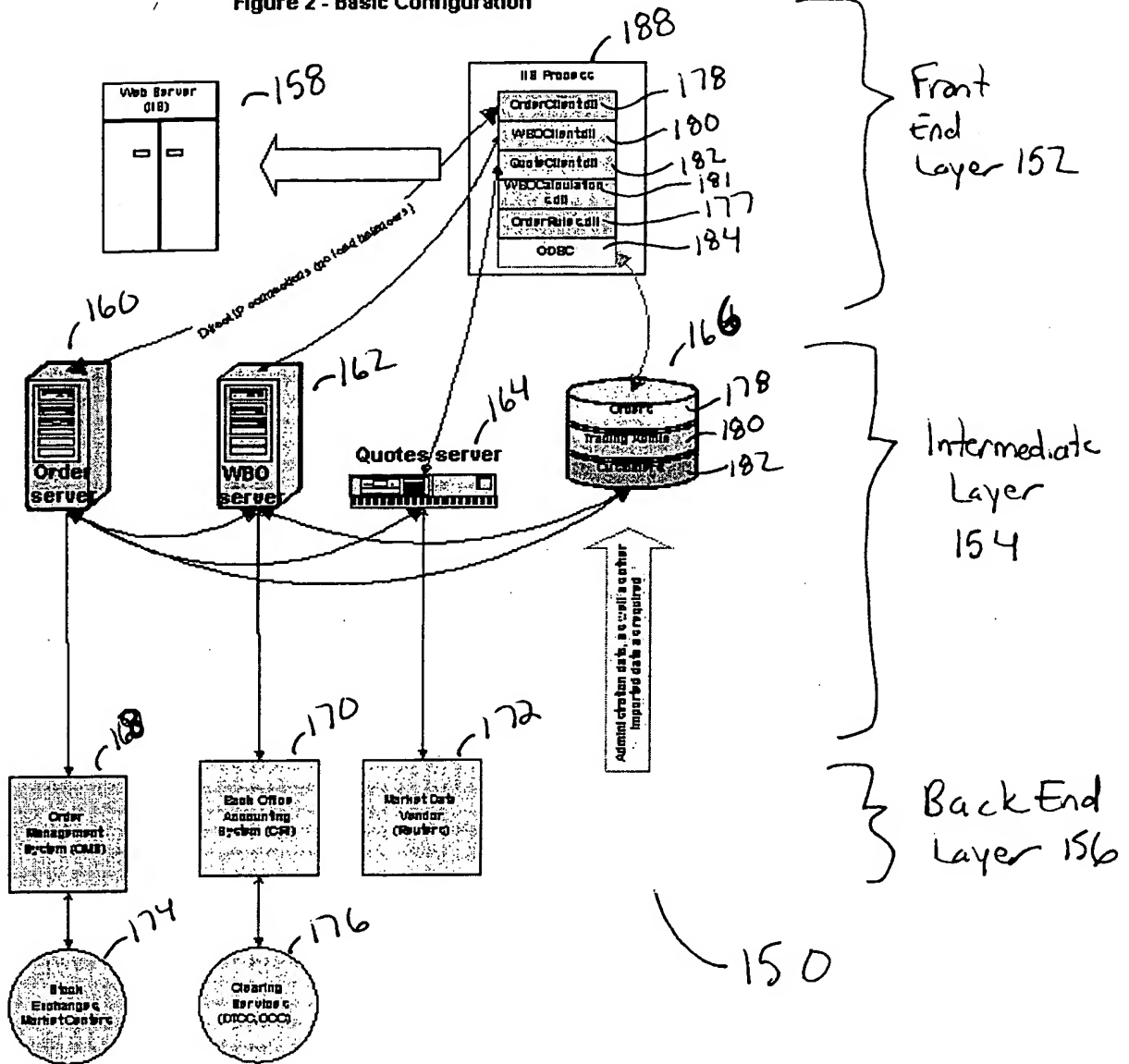


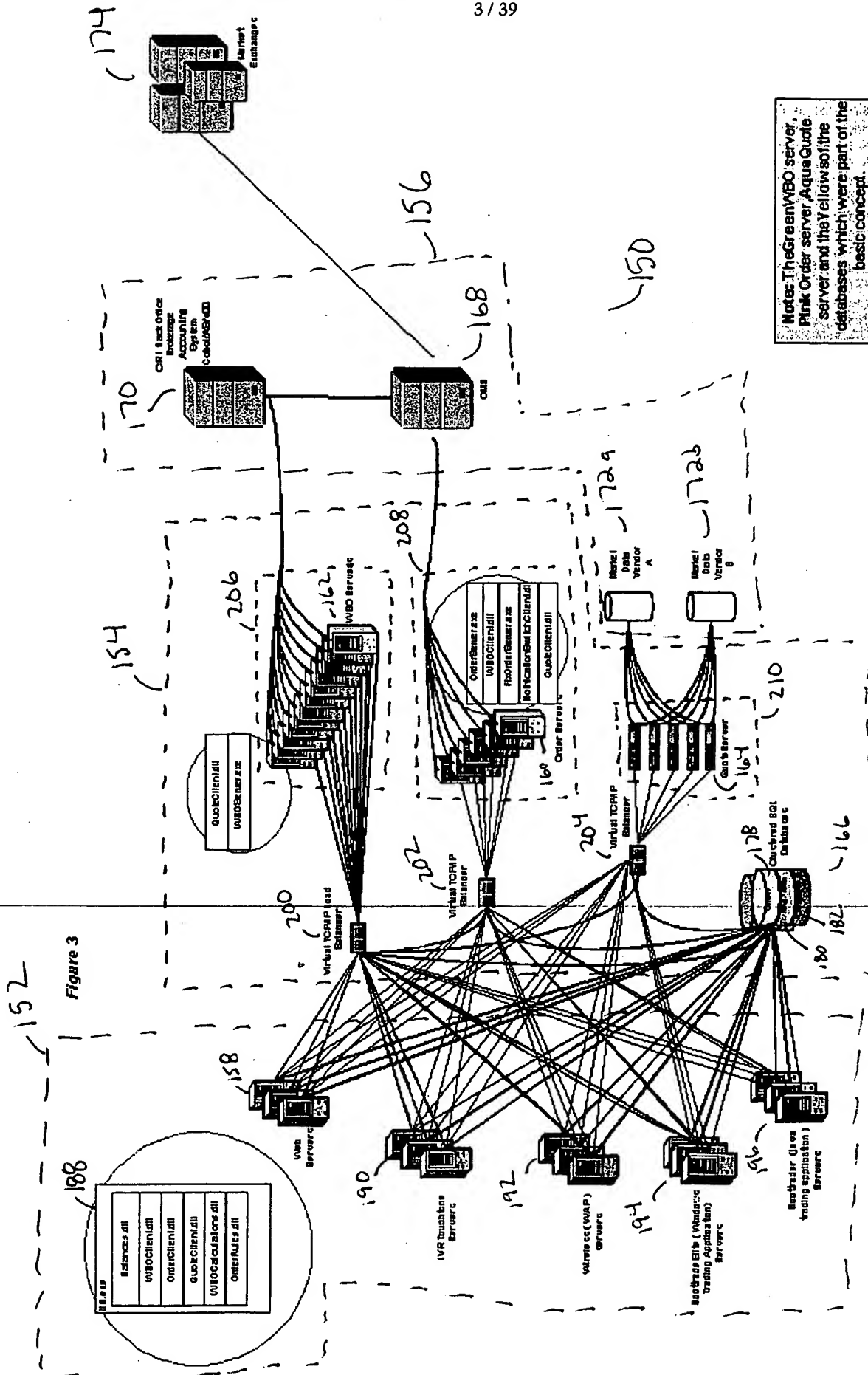
Title: System And Method For The Automated
Brokerage Of Financial Instruments
Inventor(s): Tully et al.
Express Mail No. EV328618216US
Docket # 36194/42366
1 / 39



2 / 39

Figure 2 - Basic Configuration





Note: The GreenWBO server, Pink Order server, Aqua Quote server and the Yellowsoft databases which were part of the basic concept.

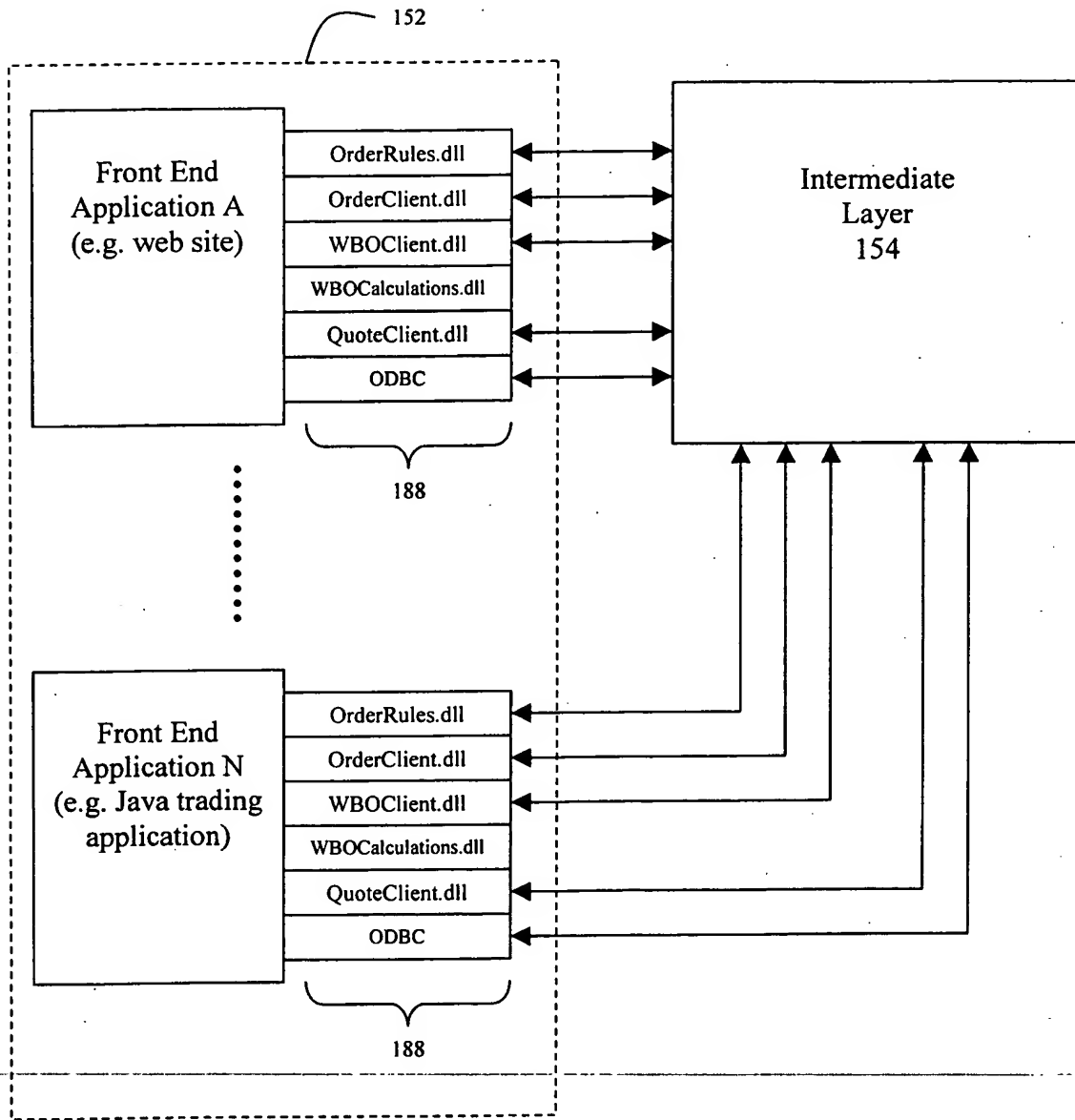
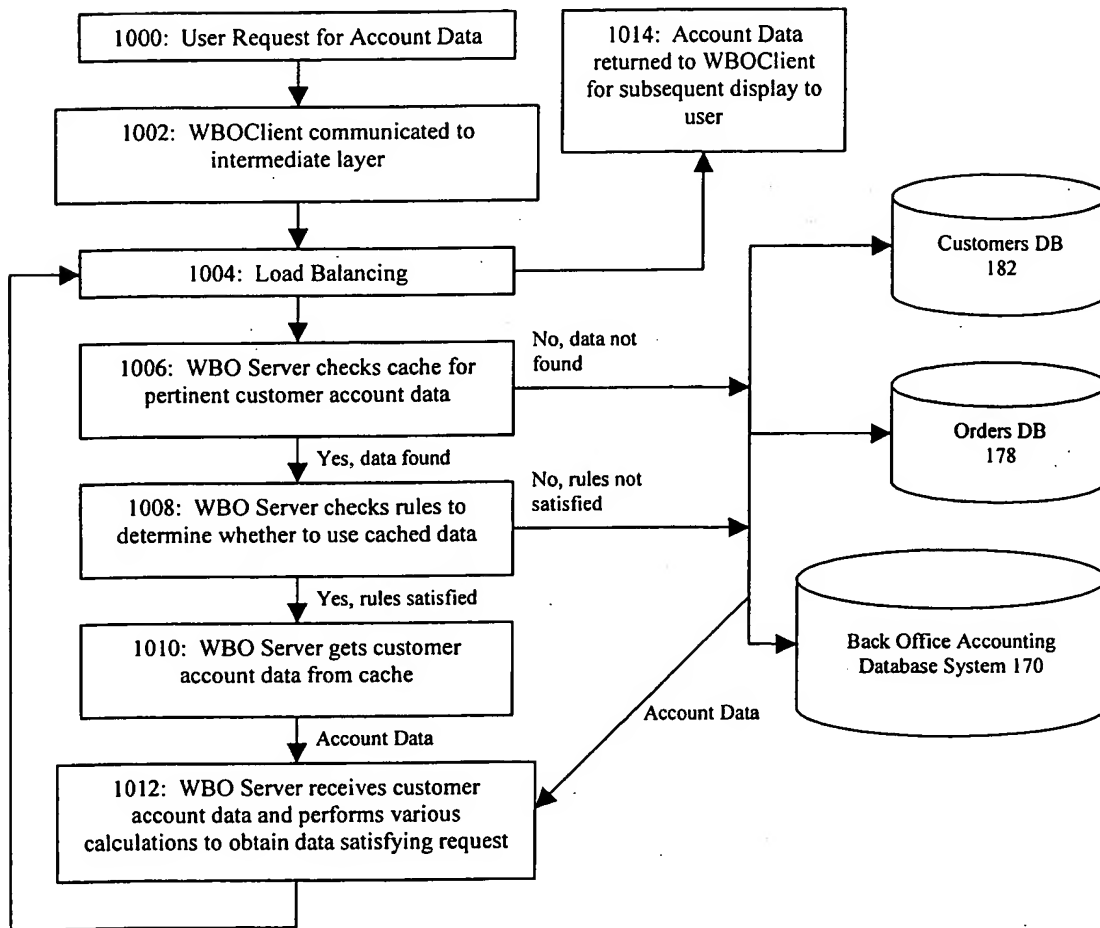


Figure 4

**Figure 5**

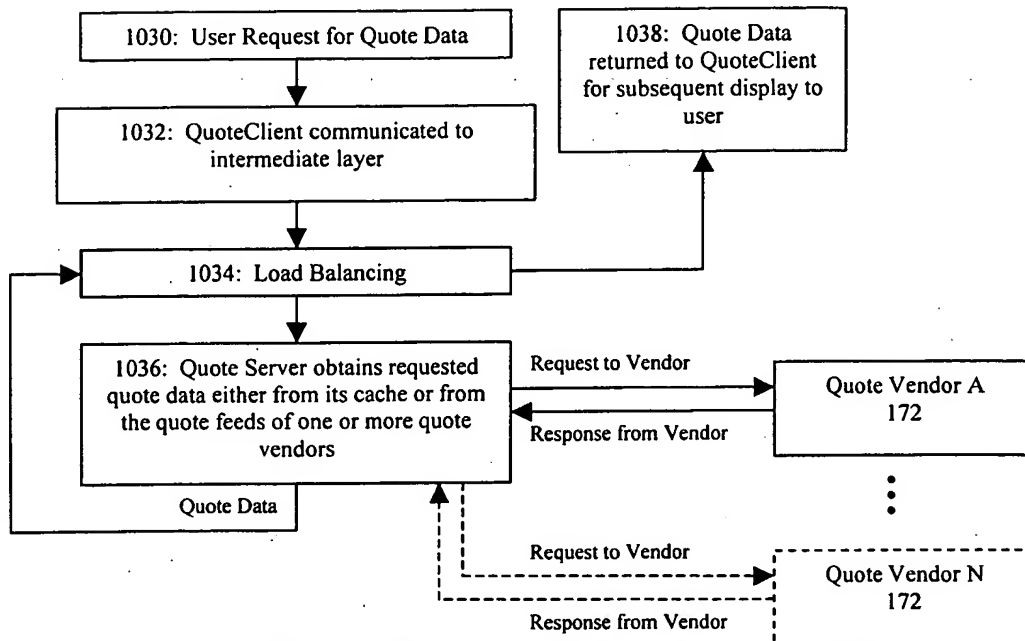


Figure 6

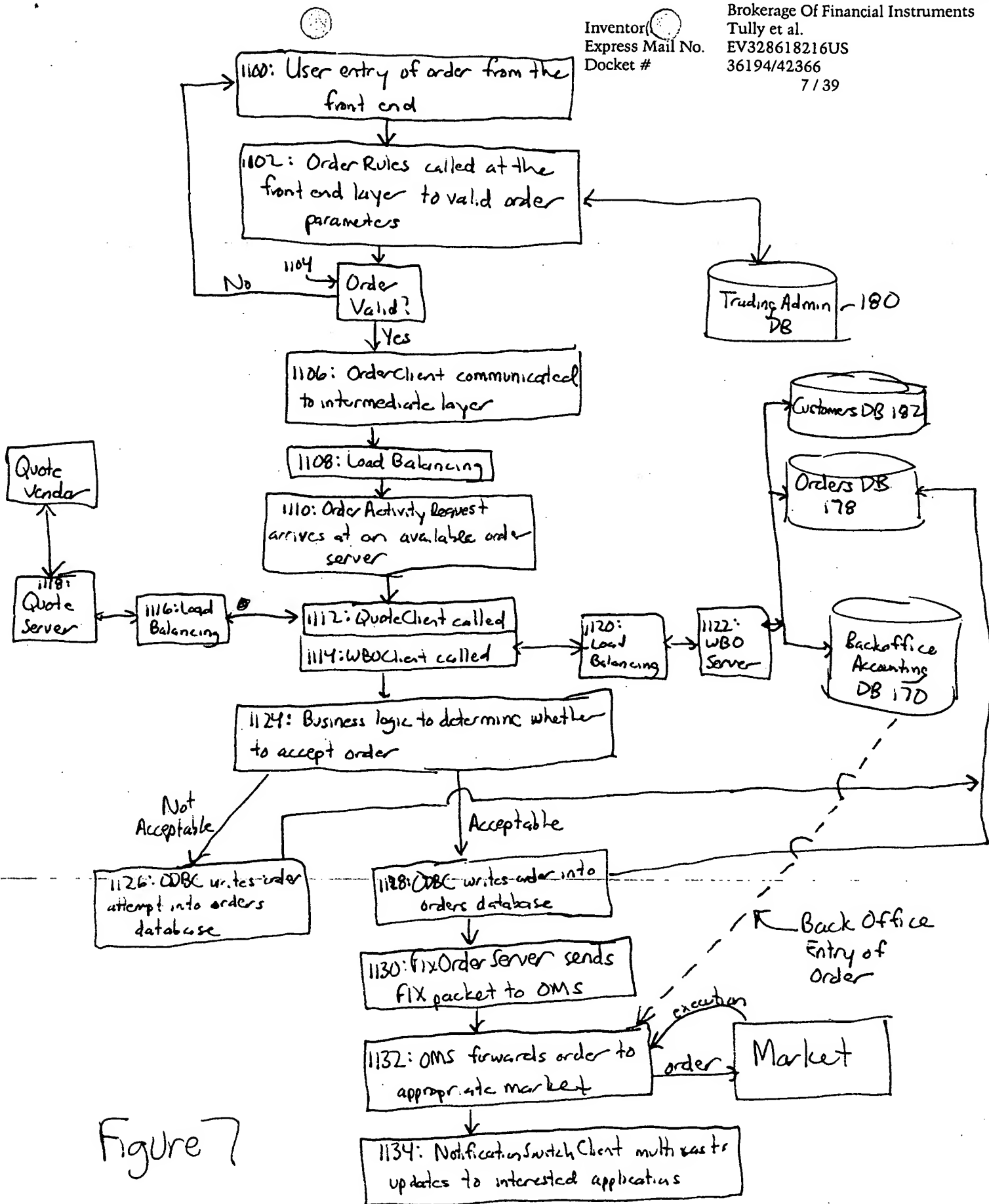
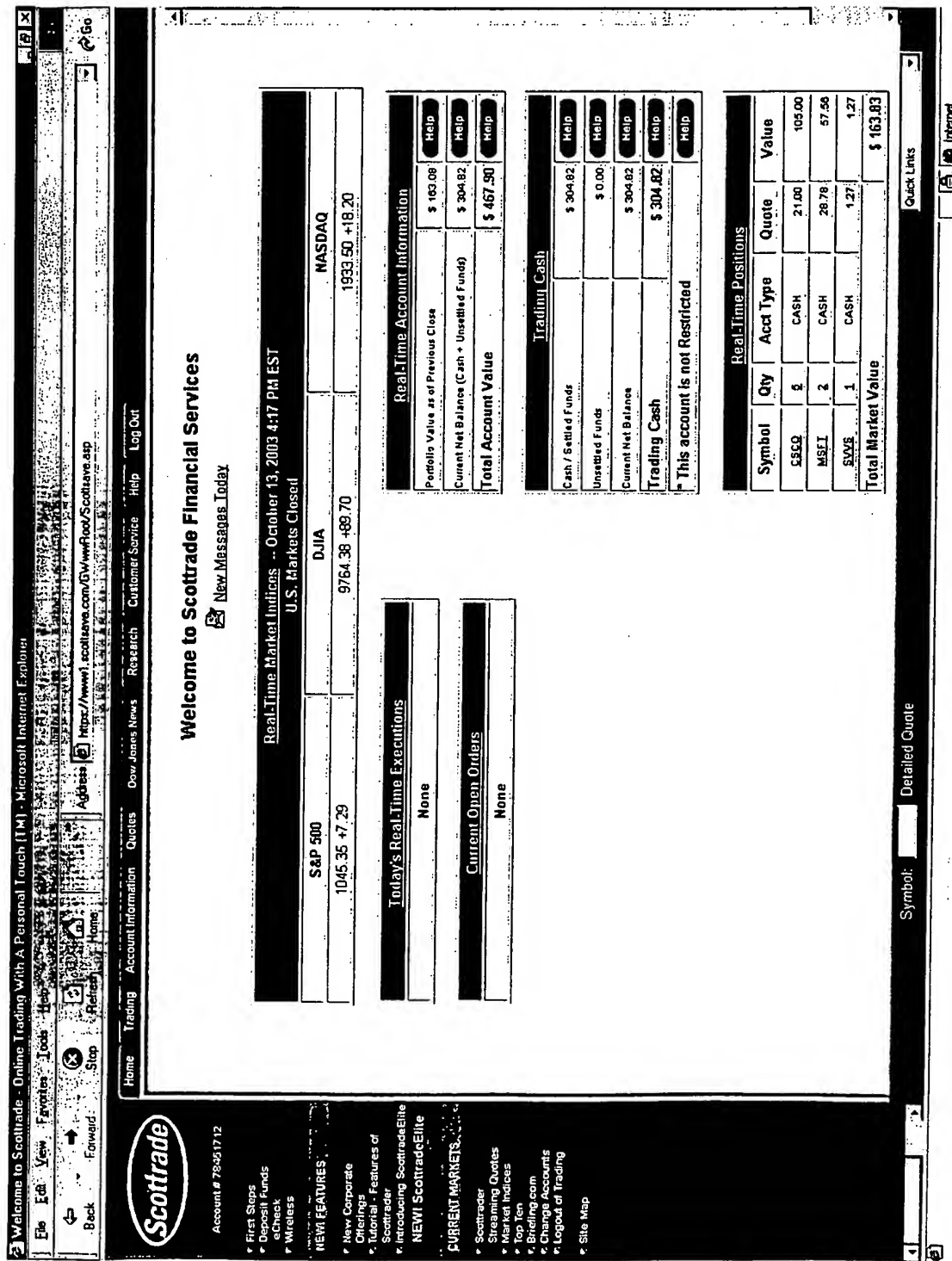


Figure 7

WBL
 Carter
 Interface

Figure 8(a)

10/14/2003



Inventor(s):
Express Mail No.
Docket #

Web Interface

Figure 8(b)

Welcome to Scottrade - Online Trading With A Personal Touch (TM) - Microsoft Internet Explorer

Home | Trading | Account Information | Quotes | Dow Jones News | Research | Customer Service | Help | Log Out

Address: <http://www1.scottrade.com/DIVWebFront/Scottrade.asp>

Current Trade Balances

October 13, 2003

Description	Value	Help
Portfolio Value as of Previous Close	\$ 163.08	Help
Current Net Balance	\$ 304.82	Help
Total Account Value	\$ 467.90	Help

Cash / Settled Funds	\$ 304.82	Help
----------------------	-----------	----------------------

Today's Settled Funds	\$ 304.82	Help
***Unsettled Stock Sells	\$ 0.00	Help
***Unsettled Option Sells	\$ 0.00	Help
***Unsettled Other Sells	\$ 0.00	Help
***Unsettled Total Sells	\$ 0.00	Help
Unsettled Total Buys	\$ 0.00	Help
Current Net Balance	\$ 304.82	Help

Trading Cash	
Open Buy Orders	\$ 15.00
***Trading Cash	\$ 289.82
***Trading Cash for Fixed Income / Mutual Funds Purchases	\$ 289.82

Click the [Helps](#) for information on how you are able to use these funds for Buys.
 Today's Trades - You can see settlement dates for your trades today by clicking on Today's Real-Time Executions found on your Home page.
 Previous Trades - You can see settlement dates for past trades by going to Account Information and then to your Trade History.

Account # 78451712

- First Steps
- Deposit Funds
- eCheck
- Wireless

NEW! FEATURES:

- New Corporate Offerings
- Tutorial - Features of Scottrade
- Introducing ScottradeElite
- NEW! ScottradeElite

CURRENT MARKETS:

- Scottrade
- Streaming Quotes
- Market Indices
- Pop Ten
- Charting comments
- Logout of Trading
- Site Map

Start | C:\WINNT\System... | Welcome to S... | OMS Execution R... | Infor - Microsoft... | Screen Shots | Unfiled - Print | Quick Links

file:///C:/Documents%20and%20Settings/miller/k/Local%20Settings/Temporary%20Internet%20Files/OI.K6/WebsiteBalances.jpg

10/14/2003

- Web
- Customer
- Interface

figure 8(c)

Welcome to Scottrade - Online Trading With A Personal Touch (TM) - Microsoft Internet Explorer

Address: https://www1.scottrade.com/GW/wwwRod/Scottrade.asp

Home Trading Account Information Quotes Dow Jones News Research Customer Service Help Log Out

Current Open Orders & Real-Time Executions

Current Open Orders										
MOD	CXL	Action	Qty	Symbol	Price	Accd Type	T.I.F.	Order	Status	Session
MOD	CXL	SELL	2	MSFT	Limit 40.00	CASH	DAY	XA242520031013	QUEUED	Regular
MOD	CXL	BUY	1	RTRSY	Limit 16.00	CASH	DAY	XAB736120031013	QUEUED	Regular

[Help](#)

Today's Real-Time Executions

None

[Help](#)

© Copyright 2000 Scottrade. All Rights Reserved.

Quick Links

A Internet

Account # 78-051712

- First Steps
- Open Funds
- Deposit
- Wireless

NEW FEATURES

- New Corporate Offerings
- Trading Features of Scottrade
- Introducing ScottradeElite
- NEW! ScottradeElite

CURRENT MARKETS

- Scottrade Streaming Quotes
- Market Indices
- Top Ten
- Etfing.com
- Change Accounts
- Logout of Trading
- Site Map

Symbols: [] Detailed Quote

[] Done

file://C:\Documents%20and%20Settings\miller\Local%20Settings\Temporary%20Internet%20Files\OLK6\WebSiteOrders.jpg

Title: System And Method For The Automated
Brokerage Of Financial Instruments
Inventor(s) Tully et al.
Express Mail No. EV328618216US
Docket # 36194/42366

11 / 39

Wb
Custome
Wbface

Figure 8(d)

10/14/2003

Welcome to Scottrade - Online Trading With A Personal Touch (TM) - Microsoft Internet Explorer

File Edit View Favorites Tools Help

Back Forward Stop Refresh Home

Address <http://www1.scottrade.com/GWwffload/Scottrade.asp> Go

Home Trading Account Information Quotes Dow Jones News Research Customer Service Help Log Out

Real-Time Positions

October 13, 2003

Symbol	Name	Qty	Acct Type	Quote	Value	Today's Change In Value
CSCO	CISCO SYSTEMS	5	CASH	21.00	105.00	1.00
MSFT	MICROSOFT CORP	2	CASH	28.78	57.56	-0.20
SAVS	SAVIS COMMUNICATIONS CORP	1	CASH	1.27	1.27	-0.04
Total Market Value					\$ 163.83	\$ 0.75

Help

© Copyright 2000 Scottrade. All Rights Reserved.

Start | C:\WINNT\System... | Welcome to S... | OMSExecution R... | Symbol | Detailed Quote | WebSiteOrders.bm | Screen Shots | Inbox - Microsoft O... | Quick Links

4:35 PM

Scottrade
Account # 79451712

First Steps
Deposit Funds
eCheck
Wireless

NEW FEATURES
New Corporate
Offerings
Tutorial - Features of
Scottrade
Introducing ScottradeElite
NEW! ScottradeElite

CURRENT MARKETS
Scottrade
Streaming Quotes
Market Indices
Top Ten
Bidding.com
Change Accounts
Logout of Trading
Site Map

file:///C:/Documents%20and%20Settings/millerk/Local%20Settings/Temporary%20Internet%20Files/OLK6/WebSitePositions.jpg

Title: System And Method For The Automated Brokerage Of Financial Instruments
Inventor(s): Tully et al.
Express Mail No. EV328618216US
Docket # 36194/42366

12 / 39

Web
Custom
Interface

Figure 8(e)

10/14/2003

Welcome to Scottrade - Online Trading With A Personal Touch (TM) - Microsoft Internet Explorer

File Edit View Favorites Tools Help

Address: https://www1.scottrade.com/GV/wwwRoot/Scottrade.asp

Home Trading Account Information Quotes Dow Jones News Research Customer Service Help Log Out

Back Forward Stop Refresh Home

Scottrade

Account # 78451712

TRADES

- Equities
- Options
- Mutual Funds
- Fixed Income
- Open Orders & Executions

LOOKUP

- Equity
- Option Class
- Option Symbol
- Trading Help
- Touch Tone Guide
- Site Map

Equity Order Entry

Market Side:	Buy	Help
Quantity:	1	Help
Symbol:	GE	Help
Order Type:	Market	Help
Limit Price:		Help
Stop Price:		Help
Time In Force:	Day Order	Help
Qualifiers:	All or None	Help
Trading Period:	Regular Hours	Help

Get Quote Confirm Abandon

c Copyright 2000 Scottrade. All Rights Reserved.

Symbol: Detailed Quote

Quick Links

Internet

file://C:/Documents%20and%20Settings/millerk/Local%20Settings/Temporary%20Internet%20Files/OLK6/WebSite/Trading1.jpg

Title: System And Method For The Automated Brokerage Of Financial Instruments
 Inventor(s): Tully et al.
 Express Mail No. EV328618216US
 Docket # 36194/42366

13 / 39

Wb
 Ceban ite-iz

Figure 8(f)

10/14/2003

Welcome to Scottrade - Online Trading With A Personal Touch (TM) - Microsoft Internet Explorer

Address: <https://www.scottrade.com/GV/wwRoot/Scottrade.asp>

Home Trading Account Information Quotes Dow Jones News Research Customer Service Help Log Out

Equity Order Entry

Are you sure you want to submit this order?

Symbol	Last	Change	Bid	Ask	Size	High	Low	Volume	Market
GE	+28.93	-0.39	28.92	28.94	347 x 12	29.97	28.65	29,536,300	NYSE

Market Side: Buy
 Quantity: 1
 Symbol: GE
 Price: At the Market
 Time in Force: Day Order
 Estimated Commission: \$7.00
 Trading Period: Regular Hours
 Account Number: 78451712

Password:

Submit Edit Abandon Help

© Copyright 2000 Scottrade. All Rights Reserved.

Symbol: Detailed Quote

Quick Links Internet

Done

Scottrade

Account # 78451712

TRADES

- Equities
- Options
- Mutual Funds
- Fixed Income
- Open Orders & Executions

LOOKUP

- Equity
- Option Class
- Option Symbol
- Trading Help
- Touch Tone Guide
- Site Map

file://C:/Documents%20and%20Settings/miller/K/Local%20Files/OLK6/Internet%20Files/OLK6/WebsiteTrading2.jpg

Title: System And Method For The Automated
 Brokerage Of Financial Instruments
 Tully et al.
 Express Mail No. EV328618216US
 Docket # 36194/42366

14 / 39

Web
 (listen)
 interface

Figure 8(g)

10/14/2003

Welcome to Scottrade - Online Trading With A Personal Touch [TM] - Microsoft Internet Explorer

Back Forward Stop Refresh Home

Address: https://www1.scottrade.com/GW/wwwRoot/Scottrade.asp

Home Trading Account Information Quotes Dow Jones News Research Customer Service Help Log Out

Scottrade
 Account # 78451712

TRADES
 Equities
 Options
 Mutual Funds
 Fixed Income
 Open Orders
 & Executions

LOOKUP
 Equity
 Option Class
 Option Symbol
 Trading Help
 Touch Tone Guide
 Site Map

Your order has been entered subject to broker approval.

Market Side:	Buy
Quantity:	1
Symbol:	GE
Price:	At the Market
Time in Force:	Day Order
Estimated Commission:	\$7.00
Account Number:	78451712
Account Type:	CASH
Your reference number is: XXB328920031013	

Any order entered after market close is good for the next business day.

Help OK

c Copyright 2000 Scottrade. All Rights Reserved.

Quick Links
 Symbol: Detailed Quote
 Done

file://C:\Documents%20and%20Settings\millerk\Local%20Settings\Temporary%20Internet%20Files\OLK6\WebSiteTrading3.jpg

Inventor
Express Mail No.
Docket #

System And Method For The Automated
Brokerage Of Financial Instruments
Tully et al.
EV328618216US
36194/42366
15 / 39



Figure 9(a)



Figure 9(b)



Figure 9(e)



Figure 9(c)



Figure 9 (d)

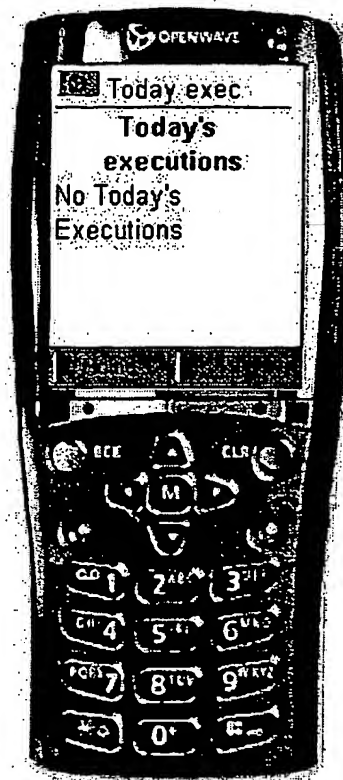


Figure 9 (f)



Figure 9 (g)

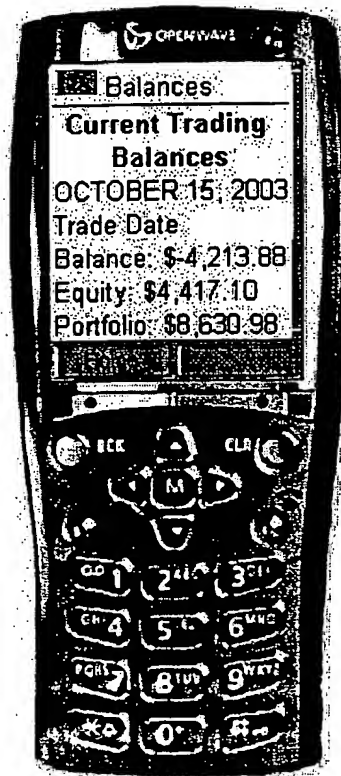


Figure 9 (h)

Inventor(s):
Express Mail No.
Docket #

System And Method For The Automated
Brokerage Of Financial Instruments
Tully et al.
EV328618216US
36194/42366

17 / 39



Figure 9(i)



Figure 9(j)

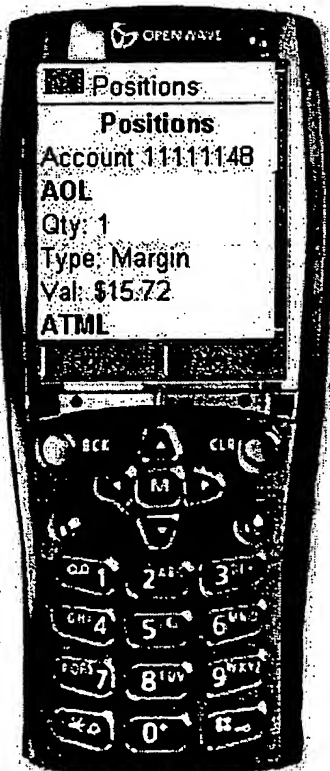


Figure 9(k)



Figure 9(l)

Title:

System And Method For The Automated
Brokerage Of Financial Instruments

Inventor(s):
Express Mail No.
Docket #

Tully et al.
EV328618216US
36194/42366

18 / 39

Page 1 of 1



Figure 9(m)



Figure 9(n)

Inventor(s) _____
Express Mail No. _____
Docket # _____

Tully et al.
EV328618216US
36194/42366

19 / 39

10/14/2003

Windows Customize Interface

Figure 10

ScottradeLLC v1.0 - Build S6. Email issues/questions or suggestions to eliteSupport@scottrade.com

Wizards System Market Data Trading Windows Help

Layout My Quotes Chart Level II Full Quote TimeSales News Option Chain Top Performers HighStocks Alerts

Order Entry | Order Entry | Balances Positions Executions Open Orders

Order Entry

Symbol RTSY	Quantity 1	Limit Price 15	Stop Price	Order Type Limit	Rode Auto	Dest ID	Duration Day	Qualifiers	Account 78451712
Buy	Buy to Cover	Sell	Sell Short	QuickCancel	Last: 24.45 Bid: 21.85 Ask: 24.45			Buying Power: 289.82	

Order confirmed [624873612031013]

Open Orders for 78451712 [2]

Symbol	Action	Quan.	Limit	Stop	Tif	Status	Ref Number
MSFT	Buy	2	40.00	0.00	Day	Sent	XIA2425200310...
RTSYS	Buy	1	15.00	0.00	Day	Sent	XAB736120031

Full Quote: RTSYS

Go	Linker	Templates	Settings
89.70	n/a		
Bid Ask Last High Low Volume			
0.00 0.00 9764.3 9783.4 9675.5 1562233			

Full Quote: \$COMP.O

Go	Linker	Templates	Settings
16.20	n/a		
Bid Ask Last High Low Volume			
0.00 0.00 1933.5 1941.0 1922.0 0			

Full Quote: \$SPXC

Go	Linker	Templates	Settings
7.29	n/a		
Bid Ask Last High Low Volume			
1044.9C 1045.5Z 1045.3 1048.9 1038.0 0			

Account Balances

78451712	Settings
Portfolio Value as of Previous Close	163.08
Current Net Balance	304.82
Total Account Value	467.90
Unsettled Sale Proceeds	0.00
Trading Cash	289.82

Positions for 78451712 [3]

78451712	Close Position	E	Edt AvgPces	\$ Chg...	\$ P&L	% P&L
MSFT	5	9.0000	21.00	0.21	12.0000	60.120
RTSYS	2	45.0000	28.78			133.33
\$VWS	1	0.0000	1.27		0.0000	0.00
Unrealized P&L \$:					27.56	
Market value \$:					163.83	

Elite Sample Active Trader Layout

Elite Sample Basis Market View Layout

Elite Sample Layout #1 Elite Sample Layout #2 Elite Sample Layout #3 Elite Sample Layout #4

Acc: 78451712 OpenPos: 3 OpenOrd: 2 Bps: \$289.82 C: Current net 0.03 VBS: 17.12-24 EST

Title:

Inventor(s):
Express Mail No.
Docket #

System And Method For The Automated
Brokerage Of Financial Instruments

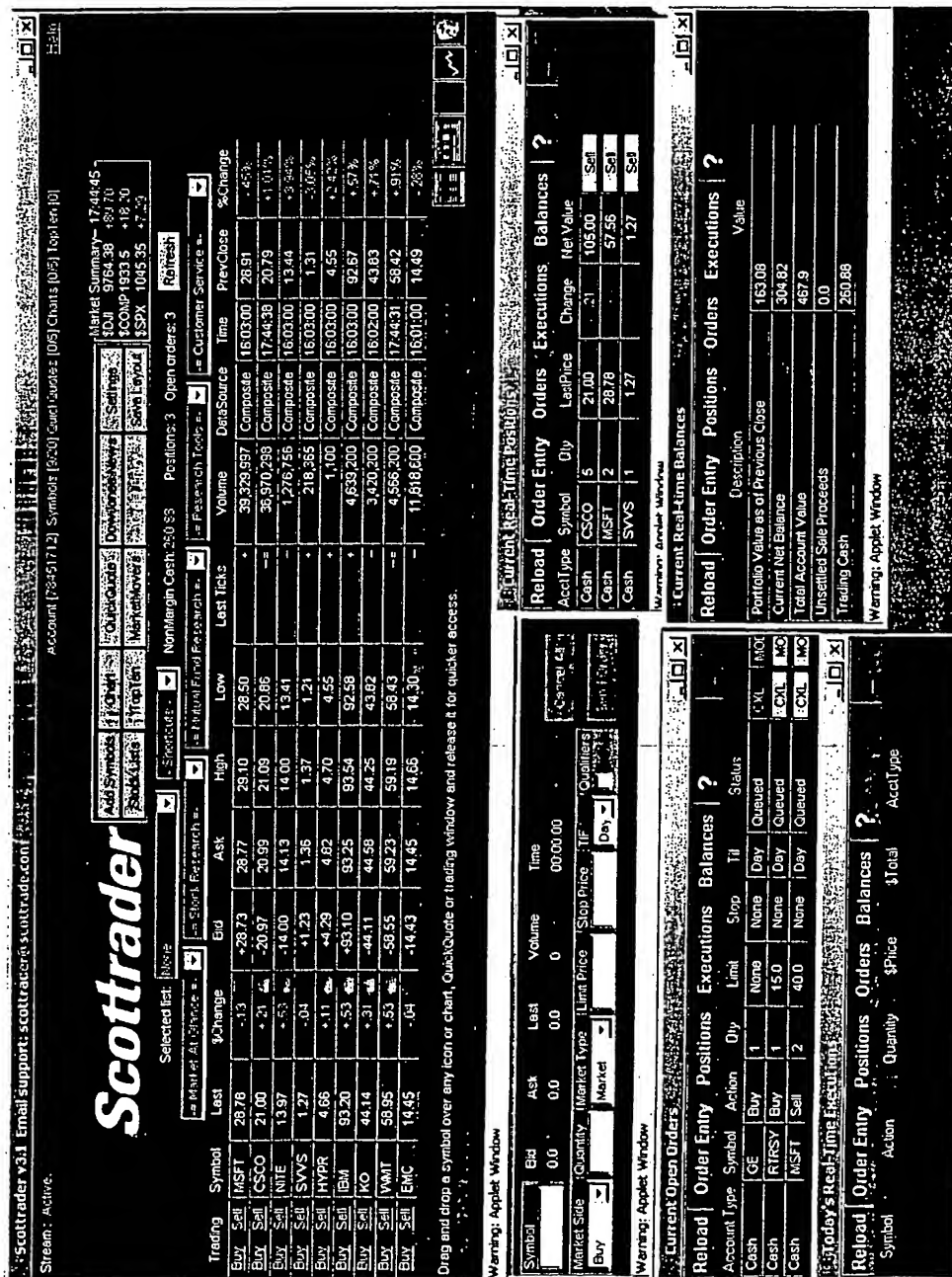
Tully et al.
EV328618216US
36194/42366

20 / 39

10/14/2003

Tove
Curtis
Wolfe

Figure 11



file://C:\Documents%20and%20Settings\miller\k\Local%20Settings\Temporary%20Internet%20Files\OLK6\ScottradeScreenShot.jpg

Title: System And Method For The Automated
 Brokerage Of Financial Instruments
 Tully et al.
 Express Mail No. EV328618216US
 Docket # 36194/42366
 21 / 39

Scottrade - Trading Admin - Microsoft Internet Explorer

File Edit View Favorites Tools Help

Address: http://trading.scottrade.com/tradingadmin/tradingadmin.asp

Trading (mtully) Admin

Indiv Group Approval Queue Symbol Admin Option Admin Trading Control History

Symbol Admin	
Equity Symbol (Not Option):	<input type="text" value="AAPL"/> <input type="button" value="Lookup"/> <input type="button" value="Save"/>
Route	<input type="text" value="Normal"/>
Buy:	<input type="radio"/> Yes <input type="radio"/> No
Sell:	<input type="radio"/> Yes <input type="radio"/> No
Sell Short:	<input type="radio"/> Yes <input type="radio"/> No <input type="button" value="Inventory Check Required"/>
Buy to Cover:	<input type="radio"/> Yes <input type="radio"/> No
Buy to Open:	<input type="radio"/> Yes <input type="radio"/> No
Buy to Close:	<input type="radio"/> Yes <input type="radio"/> No
Sell to Open:	<input type="radio"/> Yes <input type="radio"/> No
Sell to Close:	<input type="radio"/> Yes <input type="radio"/> No
Extended Hours Trading	<input type="radio"/> Yes <input type="radio"/> No
Option Chain Allowed	<input type="radio"/> Yes <input type="radio"/> No
Min Lot Size:	<input type="text" value="1"/>
Margin Requirement	<input type="text" value="50"/> %
Add Disallowed Option Root or Symbol:	<input type="text"/> <input type="button" value="Type"/>

Figure 12(a)

figure 12(b)

Title:
Invent(s):
Express Mail No.
Docket #

System And Method For The Automated
Brokerage Of Financial Instruments
Tully et al.
EV328618216US
36194/42366
23 / 39

Scotttrade - Trading Admin - Microsoft Internet Explorer

File Edit View Favorites Tools Help

Back Forward Stop Search History

Address http://tridadm.scotttrade.com/TradingAdminFrame.asp

Trading (mtully) Admin

Indiv Group Approval Queue Symbol Admin Option Admin Trading Control History

Trading Control									
Trading Type	Entry	Modify	Cancel	NYSE	Nasdaq	Amex			
*Master	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>			
Equity	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>						
Option	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>						
Bulletin Board	<input checked="" type="checkbox"/>								
Extended Hours	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>						
Scottrade	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>						
Submit									

*Turning off Master will turn off all underlying trading entry methods even if checked.

Figure 12(c)

Customers DB

Figure 13

tbl_trading_admin_rotation			
record_id	tbl	id	spk2
comp_id		int	
cueue_last_refreshed		datetime	

tbl_id	tbl_id_type	tbl_type_id	tbl_type_description	tbl_type
1	1	1	1	1

tbl_trade_type	trade_type_id	trade_type_description	tbl_trade_type
tbl_trade_type	tbl_trade_type	tbl_trade_type	tbl_trade_type

order_type_lookup	char(1)
crf_order_type	crf
wbo_order_type	wbo

tbl_trade_history	
account	char(8)
account_type_id	int
action_id	int
symbol	varchar(20)
quantity	numeric(15,3)
price	numeric(15,3)
trade_date	smalldatetime
settled_date	smalldatetime
trade_number	smalldatetime
commission	int
principal	money
tax	money
interest	money
fees	money
description	varchar(50)
last_modified	smalldatetime

tbl_terminals	
localhost	varchar(16)
ip	varchar(15)
port	int
terminalid	varchar(5)
seqNo	int

tbl_source_type	tbl_source_id	tbl_source_type_description	tbl_source_type_desc
tbl_source_type	tbl_source_id	tbl_source_type_description	tbl_source_type_desc

tbl_sma_history	
account	char(8)
sma_charge	money
sma_release	money
date_time	smalldatetime

tbl_sma_history	
account	char(8)
sma_charge	money
sma_release	money
date_time	smalldatetime

tbl_route_type	tbl_route_type
route_type_id	tinyint
route_type_description	varchar(25)

tbl_order_status_type	tbl_order_status_type
order_status_type_id	tinyint
order_status_type_description	varchar(20)

tbl_order_results	
web_tracking_number	varchar(15)
result_type	tinyint
result_from_type	tinyint
message	varchar(500)
time_stamp	datetime

tbl_orders_audit	
web_tracking_number	varchar(15)
reviewing_broker_id	int
bid	money
ask	money
net_equity	money
amount	money
open_shares	money
open_shares	money
executions	int
free_cash	money
buying_power	money
fed_call	money
trade_balance	money
market_value	money
entry_line	datetime
ip_address	varchar(16)
localhost	varchar(16)
query_string	varchar(255)
available_buying_power	money
positions_shares	int
daytrader_execution_amount	money

	tbl_orders	
web_tracking_number	varchar(15)	site
ftc_tracking_number	char(16)	
orig_web_tracking_number	char(15)	
account	char(8)	
branch_code	char(3)	
order_status	tinyint	
route_type	tinyint	
account_type	tinyint	
order_type	tinyint	
action_type	tinyint	
symbol	varchar(12)	<ft>
quantity	int	
quantity_filed	int	
price_type	tinyint	
limit_price	money	
stop_price	money	
ttl_type	tinyint	
trading_session_type	tinyint	
exec_destination	varchar(12)	
commission	varchar(10)	
drr	bit	
dri	bit	
eon	bit	
ob	bit	
wf	bit	
folk	bit	
referral_program	bit	
possible_duplicate	bit	
solidified	bit	
minimum_quantity	bit	
source_type	int	
entry_line	tinyint	
	datetime	

FK_ibl_orders_ibl_action

Figure 14(a)

Orders DB 1

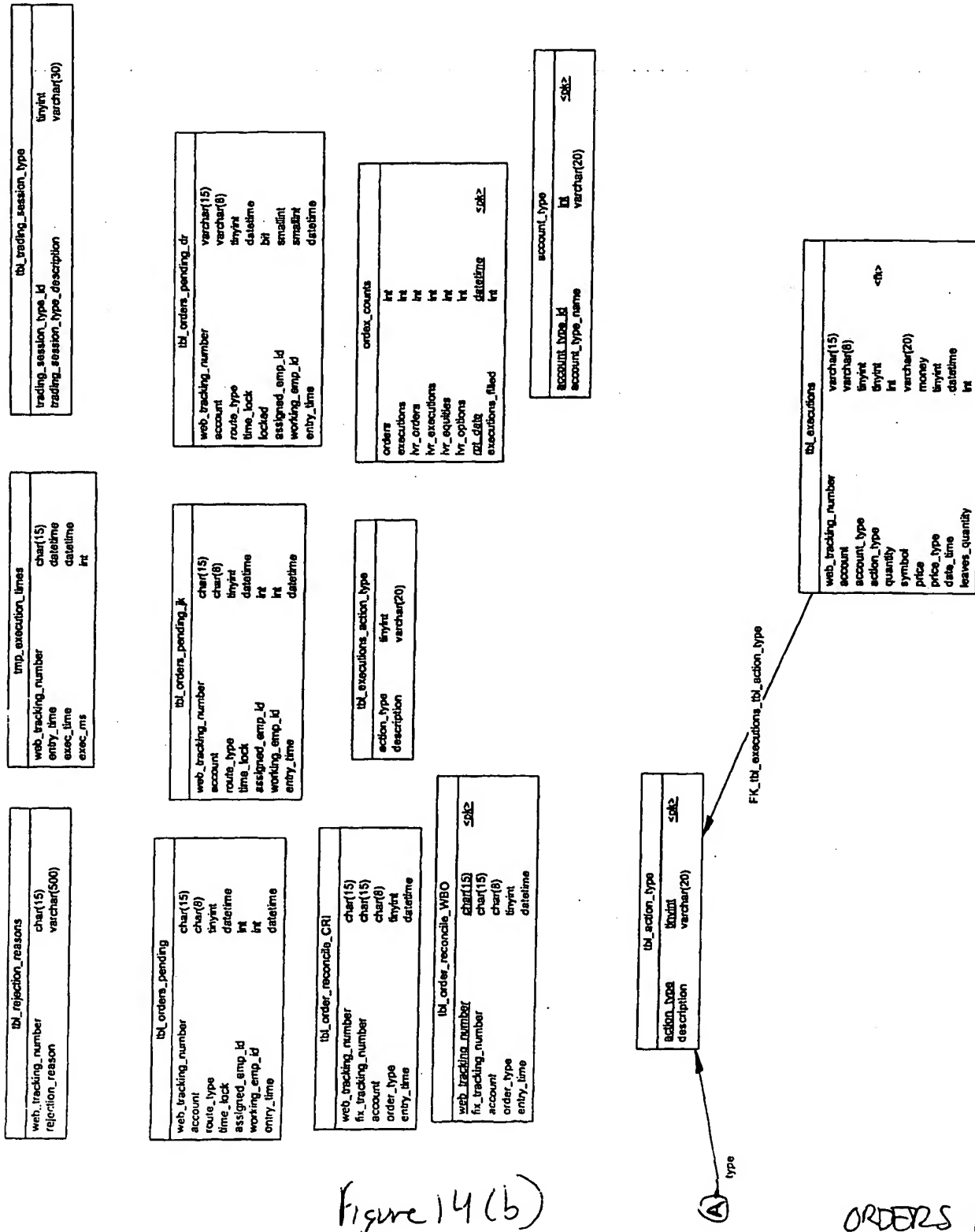


Figure 14(b)

ORDERS DIB 2

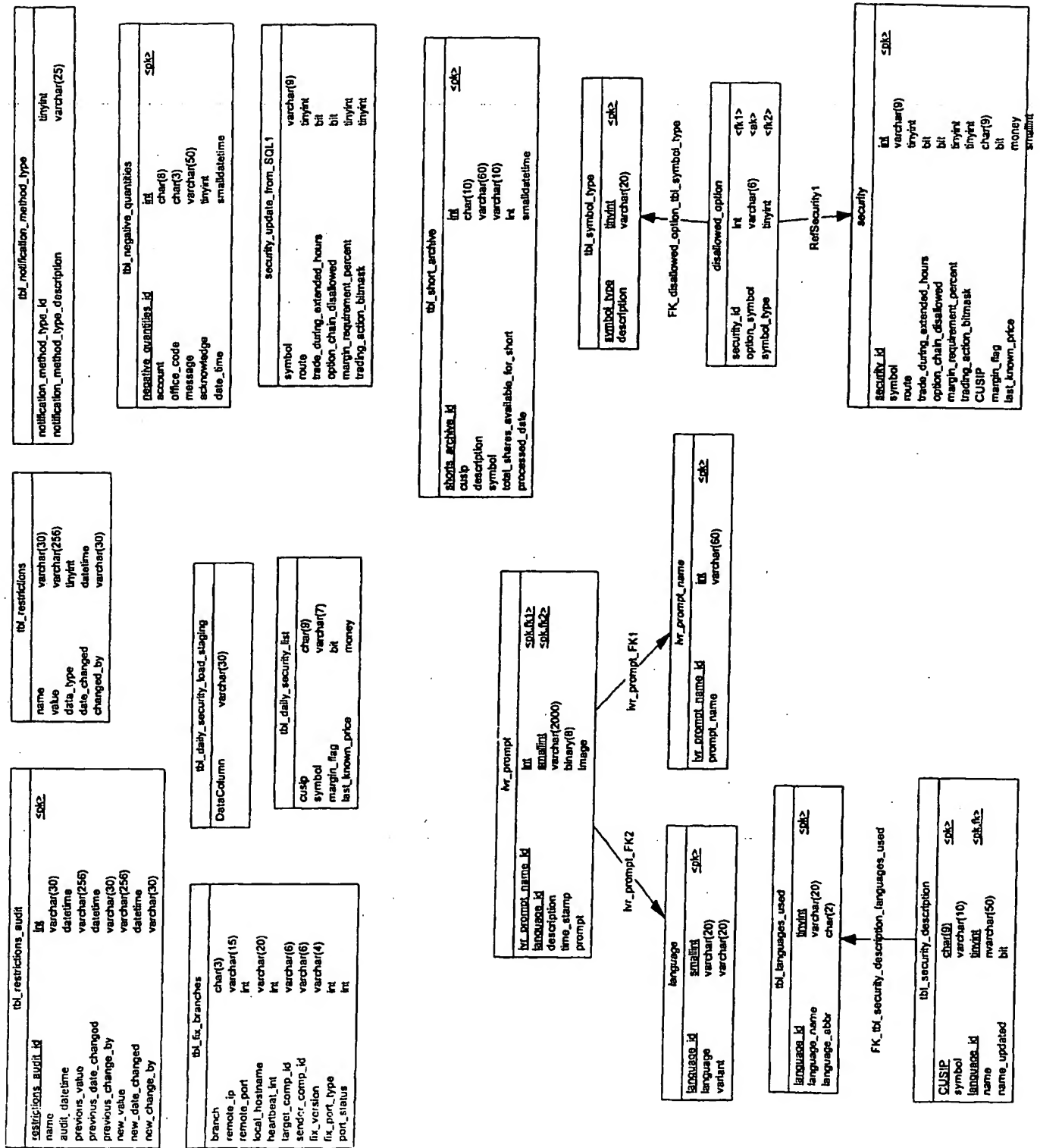


Figure 15(a)

TRADING ADMIN VB 2

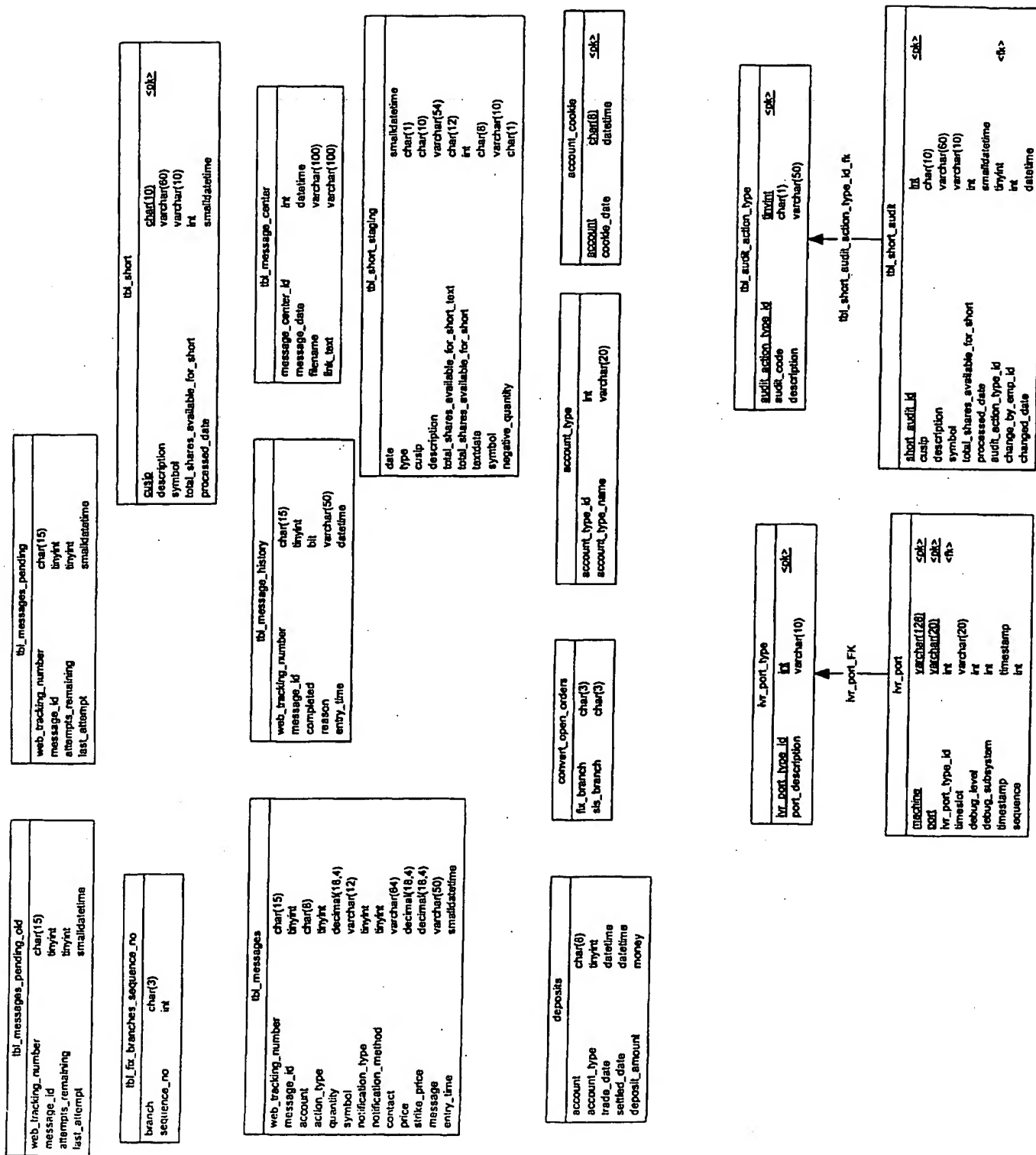


Figure 15(b)

TRADING ADMIN DB2

Invent
Express Mail No.
Docket #

System and Method for the Automated
Brokerage Of Financial Instruments
Tully et al.
EV328618216US
36194/42366
29 / 39

Figure 16(a)

scottrade - Trading Admin - Microsoft Internet Explorer

File Edit View Favorites Tools Help

Back Forward Stop Search Home

Address http://trdbm.scottsave.com/TradingAdmin/TradingAdminFrame.asp

Trading (mtully) Admin

C Indiv G Group Approval Queue (Hide) Symbol Admin Option Admin Trading Control History

Do Not Use Browser Back / Forward Buttons

Approval (Group) Refresh

☐ Disable Auto Refresh (2-2)
(disable Auto Refresh to enable Flush Queue option)

Emergency Flush Show 15 Orders

Orders: 2 N = New Order : M = Modify Order : X = Cancel Order 10/14/2003 3:36:48 PM

Manual	Account	Market Side	Quantity	Symbol	Price	TIF	Action	Assigned	Working	Display	Done	Flush
	55822397	Sell to Open	1	AMRBM	M	Day	N	broker		Brief	Done	
	76631739	Sell to Open	3	BKKG	M	Day	N	rdeming		Brief	Done	

Investor(s):
Express Mail No.
Docket #

System And Method For The Automated
Brokerage Of Financial Instruments
Tully et al.
EV328618216US
36194/42366
30 / 39

Figure 16(b)

http://trading.scottssave.com/TradingAdmin/Approval/Approval.asp?WebTrackingNumber=PS881592003101 - Microsoft Internet Explorer

File Edit View Favorites Tools Help

Address http://trading.scottssave.com/TradingAdmin/Approval/Approval.asp?WebTrackingNumber=PS881592003101&SelectedAction=2

Reason Selection:

Reason Text:

Order Approval

Do Not Use Browser Back / Forward Buttons

Done Cancel Edit

Trade Amount	Margin Buying Power	Trading Cash
1,200.00	38,652.00	-346,064.21

Order

Account	Status	Route	Order	Action	Quantity	Symbol	Price	TIF	AON	Account Type	Trading Session	Possible Duplicate	Entry Time	Web Tracking Number	Branch
Orig 72130671	Pending Modify	Fix	New	Sell to Open	120	QQQQ	130.15	Day	Yes	Margin	Regular	No	10/14/2003 3:40:27 PM	300A20030031014	100
Mod 72130671	Sell	Agency	Modify	Sell to Open											

Results

Web Tracking Number	Result Type	Result From Type	Message	Time Stamp
PS8815920031014	Re-route	Rules	Option Sell Call to Open	10/14/2003 3:41:54 PM

QQQQ Quote

Market	Last	Change	Size	Bid	Ask	B/A Size	High	Low	Volume	UPC11630	Halted	Fast Market
CBOE	+0.10	-0.05	10	-0.05	0.15	24134 x 31964	0.10	0.05	7,323	No	No	No

Done

Title: System And Method For The Automated
 Brokerage Of Financial Instruments
 Tully et al.
 Express Mail No. EV328618216US
 Docket # 36194/42366
 31 / 39

figure 16(c)

Scottrade - Trading Admin - Microsoft Internet Explorer

File Edit View Favorites Tools Help

Address http://trading.scottrade.com/TradingAdmin/TradingAdminFrame.asp

Trading (mtully) Admin

☒ Individ ☐ Group ☐ Approval Queue ☐ Symbol Admin ☐ Option Admin ☐ Trading Control ☐ History

Account: 78451712 Symbol: Tracking #:

*Start Date: 10/13/2003 10:00 AM
 *End Date: 10/14/2003 11:59 PM

Source: ☒ Web ☐ IVR ☐ Scottrade ☐ Scottrade Elite ☐ Wireless ☐ Approval

Destination: ☒ Fix ☐ Manual ☐ Queued ☐ Rejected

#	Action	Source/Route	Qty	Symbol	Price	TIF	Account	Date	Tracking #	Orig Track #
1	New	Wireless/Fix	Buy	EMC	L5	Day	78451712	10/14/2003 3:30:00 PM	XGA513220031014	
2	Cancel	Approval/Fix	Buy	GE	M	Day	78451712	10/14/2003 8:47:12 AM	XGA113020031014	XXB208920031013
3	Cancel	Web/Fix	Buy	GE	M	Day	78451712	10/14/2003 8:47:04 AM	PS63520031014	XXB208920031013
4	New	Web/Fix	Buy	GE	M	Day	78451712	10/13/2003 5:37:38 PM	XXB208920031013	
5	New	Elite/Fix	Buy	RTRS	L15	Day	78451712	10/13/2003 5:12:16 PM	XAB76120031013	
6	New	Elite/None	Sell	RTRS	M	Day	78451712	10/13/2003 5:11:50 PM	ES1282920031013	
7	New	Elite/None	Sell	RTRS	M	Day	78451712	10/13/2003 5:11:48 PM	ES863120031013	
8	New	Elite/Fix	Sell	MSFT	L40	Day	78451712	10/13/2003 5:02:58 PM	XIA242520031013	

Done

32 / 39

Figure 17

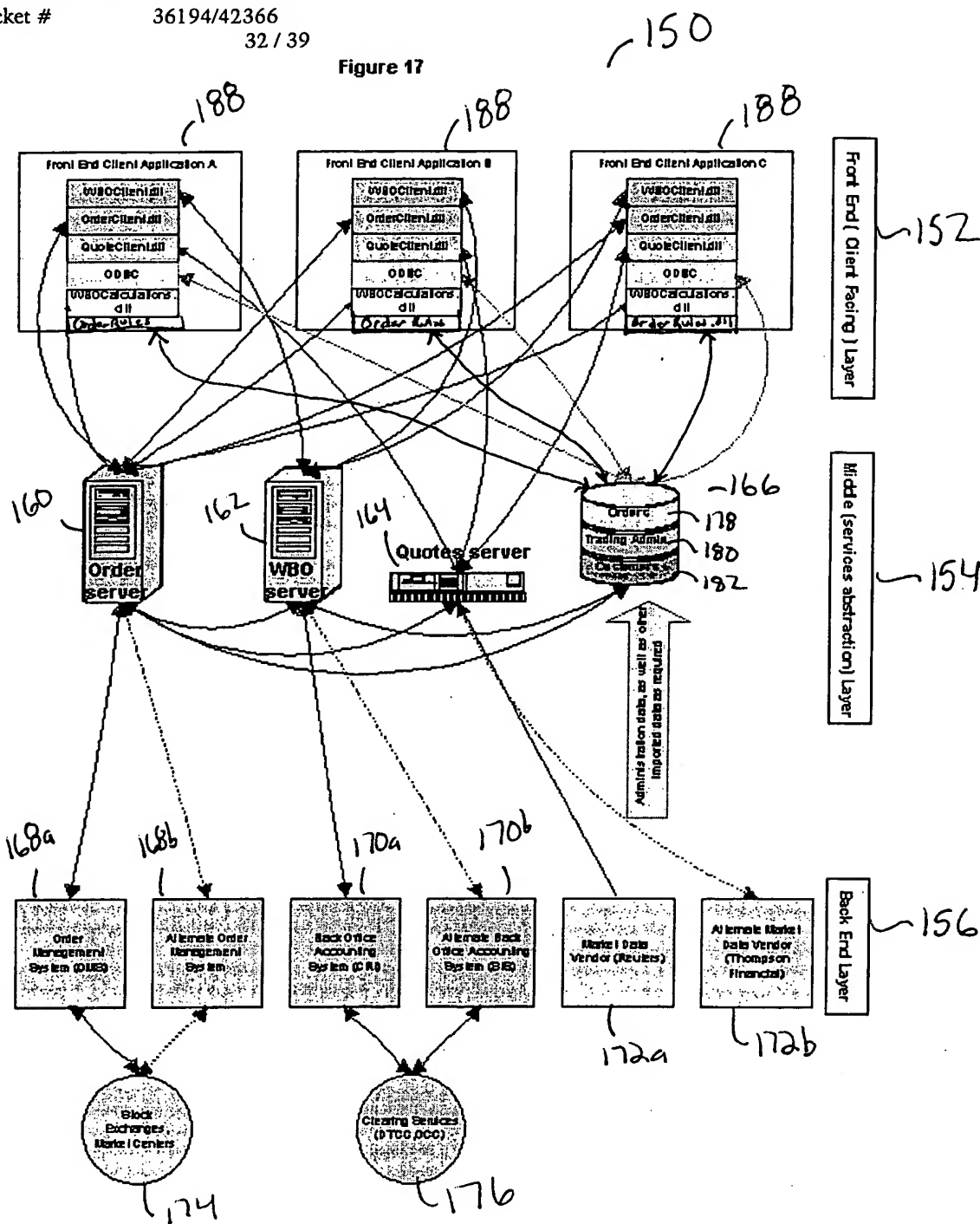
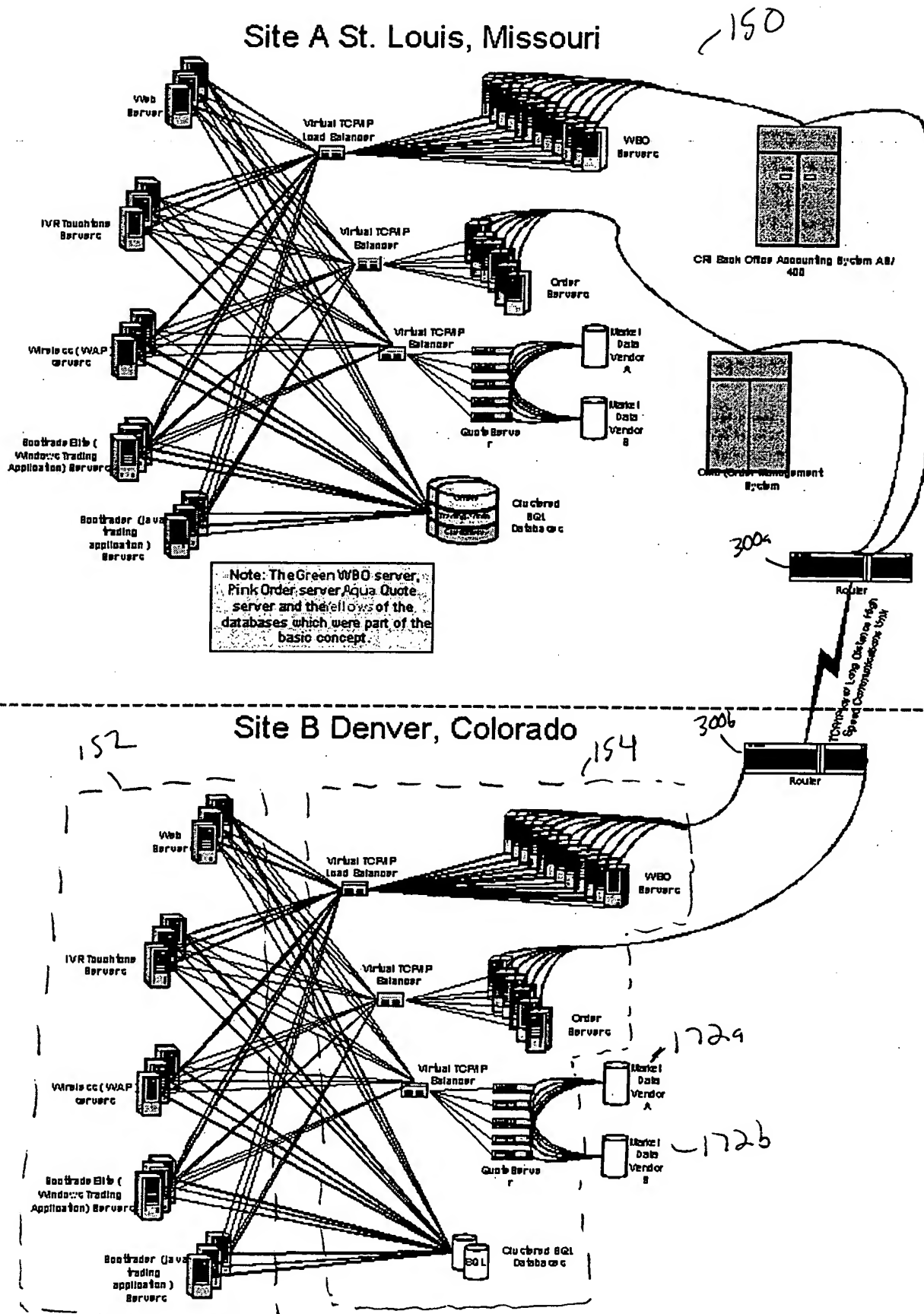


Figure 18 - Multi Site DR



Inventor(s)
Express Mail No.
Docket #

System And Method For The Automated
Brokerage Of Financial Instruments
Tully et al.
EV328618216US
36194/42366

34 / 39

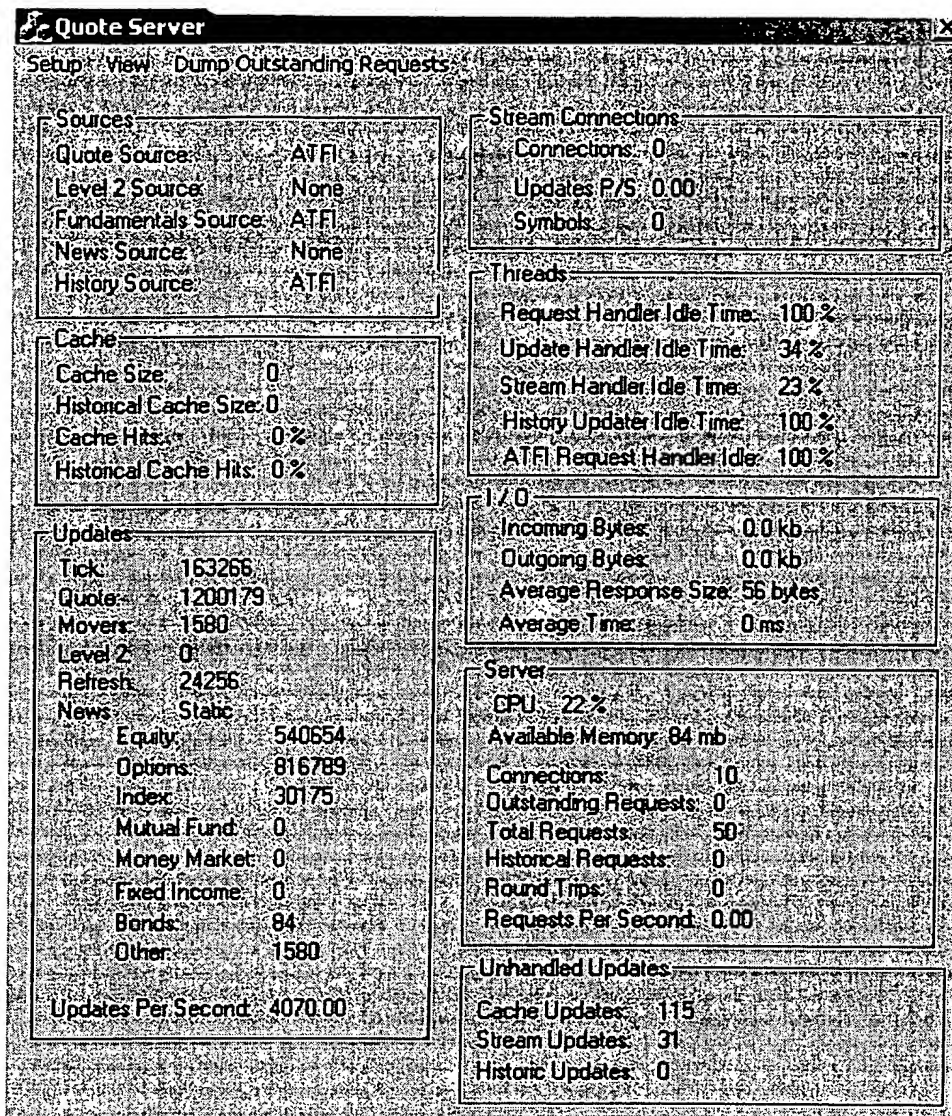


Figure 19(a)

Configure

Quote Source: ☒ Cache ☒ Cache Movers

Level2 Source:

Fundamentals Source:

News Source:

History Source: ☒ Cache

General

Request Handler Threads:

Update Handler Threads:

Stream Update Threads:

History Update Threads:

Security Cache Expiration: Option Chain Expiration:

Movers Cache Expiration: Company Data Expiration:

ATFI

Ip: MDS Connections:

Request Handler Threads: DBM Connections:

Server

Socket Server:

Max Connections:

Reuters

Ip:

Figure 19(b)

Inventor(s): Tully et al.
Express Mail No. EV328618216US
Docket # 36194/42366

36 / 39

Configure

Quote Source: ATFI ☒ Cache ☒ Cache Movers

Level2 Source: None

Fundamentals Source: ATFI
Bridge

News Source: None

History Source: ATFI ☒ Cache

General

Request Handler Threads: 30

Update Handler Threads: 20

Stream Update Threads: 20

History Update Threads: 10

Security Cache Expiration: 3600 Option Chain Expiration: 3600

Movers Cache Expiration: 30 Company Data Expiration: 1800

ATFI

Ip: ATFI5 MDS Connections: 1

Request Handler Threads: 12 DBM Connections: 11

Server

Socket Server: Async

Max Connections: 100

Reuters

Ip:

Figure 19(c)

Inventor(s): Tully et al.
Express Mail No. EV328618216US
Docket # 36194/42366

37 / 39

Configure

Quote Source: ☒ Cache ☒ Cache Movers

Level2 Source:

Fundamentals Source:

News Source:

History Source: ☒ Cache

General

Request Handler Threads:

Update Handler Threads:

Stream Update Threads:

History Update Threads:

Security Cache Expiration: Option Chain Expiration:

Movers Cache Expiration: Company Data Expiration:

ATFI

Ip: MDS Connections:

Request Handler Threads: DBM Connections:

Server

Socket Server:

Max Connections:

Reuters

Ip:

Figure 19(d)

Inventor(s): Jolly et al.
Express Mail No. EV328618216US
Docket # 36194/42366

38 / 39

Configure

Quote Source: Restart ☒ Cache ☒ Cache Movers

Level2 Source: Restart

Fundamentals Source: Restart

News Source: Restart

History Source: Restart ☒ Cache

General

Request Handler Threads:

Update Handler Threads:

Stream Update Threads:

History Update Threads:

Security Cache Expiration: Option Chain Expiration:

Movers Cache Expiration: Company Data Expiration:

ATFI

Ip: Apply MDS Connections:

Request Handler Threads: DBM Connections:

Server

Socket Server: Stop Restart

Max Connections: Drop All

Reuters

Ip:

OK Cancel

Figure 19(e)

Configure

Quote Source: Restart ☒ Cache ☒ Cache Movers

Level2 Source: Restart

Fundamentals Source: Restart

News Source: Restart

History Source: Restart ☒ Cache

General

Request Handler Thread:

Update Handler Threads:

Stream Update Threads:

History Update Threads:

Security Cache Expiration: Option Chain Expiration:

Movers Cache Expiration: Company Data Expiration:

ATFI

Ip: Apply MDS Connections:

Request Handler Threads: DBM Connections:

Server

Socket Server: Stop Restart

Max Connections: Drop All

Reuters

Ip:

OK Cancel

Figure 19(F)